The PaperCept Journal Submission and Review Management System

Configuration and User Guide

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1 Features

The PaperCept Journal Submission and Review Management System has a rich set of features and characteristics that are briefly reviewed in this Chapter.

1.1 People Database

Authors, editorial staff and reviewers need to have a PIN in the PINs database so that they may log in.

After logging in the user may access the submission wizard to submit a new paper, or enter any of the users' workspaces as author of an existing submission, reviewer or editorial staff in the appropriate role.

One of the authors, referred to as corresponding author, acts on behalf of all authors of a submission. The co-authors are copied on all correspondence.

1.2 Users

Each member of the editorial staff is registered as a *user*.

Table 1. Principal User Properties

Principal User Properties	
PIN	Personal Identification Number of the user in the people database
Name	Normally identical to the user's name in the people database
Role	The user's role in the editorial process
Label	(Optional) Additional clarification of the user's role
Report to	(Optional) There may be several such fields
Inactive	Yes/No
Account closed	Yes/No

After logging in, every user has a separate workspace for each user account. Accounts that have been closed can no longer be accessed.

1.3 Paper Flow and Submission Status

A submission typically passes through the following stages. Steps marked * may be skipped. The next step in the workflow depends to a large extent on the status of the submission.

Table 2. Workflow Steps

Typical Steps in the Paper Workflow	Resulting status
A new or revised submission is received	Received
*The submission is assigned to a handler	Under review
*One or several reviews or re-reviews are requested	Under review
The submission is evaluated	Decision pending
A decision publication is taken	<Decision status>
The authors are notified about the publication decision	<Decision status>
*The final accepted manuscript is submitted	Final version received
*The final version is approved	Final version received
*If ready the final version of the paper is scheduled for publication	Final version received
*The final version is dispatched to the publisher	Forwarded to publisher

The workflow is supported by a set of predefined statuses that may be assumed by a submission (Table 3).

Table 3. Statuses of a Submission

Submission Status
Submission incomplete
Received
Under review
Decision pending
Resubmitted as new submission
Final MS received
Forwarded to publisher
Withdrawn
Discarded
<Decision status>

A *decision status* is a status that is obtained by a submission after a publication decision has been taken on the submission. As many publication decisions and resulting statuses may be configured as needed.

Table 4 shows various examples of publication decisions and the resulting decision statuses.

Table 4. Sample Decisions and Resulting Statuses

Decision	Resulting Status
Accept as Regular Paper	Accepted as Regular Paper
Accept as Brief Paper	Accepted as Brief Paper
Accept provisionally as Regular Paper	Provisionally accepted as Regular Paper
Accept provisionally as Brief Paper	Provisionally accepted as Brief Paper
Reject provisionally - may be resubmitted as Regular Paper	Provisionally rejected - may be resubmitted as Regular Paper
Reject provisionally - may be resubmitted as Brief Paper	Provisionally rejected - may be resubmitted as Brief Paper
Reject - may be resubmitted as Technical Communique	Rejected - may be resubmitted as Technical Communique
Reject - may not be resubmitted	Rejected - may not be resubmitted
Return for clarification	Returned for clarification
Return without review	Returned without review

1.4 Version Control, Log and Archive

The system tracks successive versions of a submission. For each version the handlers of the current version have access to the reviews, publication recommendations and decisions of all previous versions.

Each submission related action is logged in the system Log.

Important documents that are generated during the evaluation, including decision letters, are saved in the Archive.

1.5 Roles and Privileges

The PaperCept Journal Submission and Review Management System (JSRMS) requires a role to be assigned to each participant in the editorial process. These roles may be freely named and are defined by their privileges.

Table 5 lists the privileges that may be attached to a role.

Table 5. Privileges

Privileges	
Core privileges (role level only)	Receive initial submission
	Receive resubmission
	Receive final submission
	View submissions
	Solicit reviews
	Review summary report
	Publication decision
	Author notification
	Approve final version
	Dispatch to publisher
Advanced privileges (role and user level)	Editorial privileges
	Administrative privileges

Advanced privileges may be assigned on the role level (that is, they are attached to a role) or on the user level (that is, they are attached to a specific user).

1.6 Typical Role Assignments

In what follows we will discuss three typical journal configurations

1. Journal A is a small journal whose Editor processes all papers single-handedly.
2. Journal B has an Editor-in-Chief who receives all the papers, assigns them to Area Editors for evaluation, but handles all decisions and author correspondence.
3. Journal C has an Editor-in-Chief but papers are submitted to a number of Area Editors. Each Area Editor works with a number of Associate Editors who send the papers out for review and evaluate them. The Area Editors handle the decisions and author correspondence for their papers but the final versions of the accepted paper are processed by the Editor-in-Chief.

Possible roles and corresponding core privileges could be configured for the three journals as in Table 6, Table 7 and Table 8.

If a user has been assigned a certain role then the user's 'Label' property may be used for additional clarification. For instance, in the case of Journal C there typically are several Editors, each with a different area of expertise, which may be specified by the label, for instance 'Theory', 'Applications'. The label has no functional role but when defined it is displayed in parentheses whenever the user's role is shown:

Johnson, John J., Editor (Applications of Magnetic Fields)

McIntosh, Bert, Editorial Assistant (to Editor J.J. Johnson)

Table 6. Roles and Privileges for Journal A

Journal A (Single Editor)										
Role	Receive initial submis-sion	Receive resubmis-sion	Receive final submis-sion	View submissio ns	Solicit reviews	Review summary report	Publication decision	Author notification	Approve final version	Dispatch to publisher
Editor	✔	✔	✔	✔	✔		✔	✔	✔	✔

Table 7. Roles and Privileges for Journal B

Journal B (Editor-in-Chief and Area Editors)										
Role	Receive initial submis-sion	Receive resubmis-sion	Receive final submis-sion	View submis-sions	Solicit reviews	Review summary report	Publication decision	Author notification	Approve final version	Dispatch to publisher
Editor-in-Chief	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Editor				✓	✓	✓				

Table 8. Roles and Privileges for Journal C

Journal C (Editor-in-Chief, Area Editors and Associate Editors)										
Role	Receive initial submis-sion	Receive resubmis-sion	Receive final submis-sion	View submis-sions	Solicit reviews	Review summary report	Publication decision	Author notification	Approve final version	Dispatch to publisher
Editor-in-Chief			✓	✓	✓	✓	✓	✓	✓	✓
Editor	✓	✓		✓	✓	✓	✓	✓		
Associate Editor				✓	✓	✓				

1.7 Privilege Scope

Each of the core privileges comes with a *scope*, that is, the submissions to which the privilege applies. The default scope is "All assigned submissions," that is, all submissions that are currently assigned to the user. This may be considerably refined, however.

Normally, a user has the 'View submissions' privilege, often with scope 'All assigned submissions.' This privilege defines the submissions to which the user has (read only) access.

1.8 Type of Submission

The journal may support any number of different types of submission. For each supported type, various properties may be defined, such as the maximal file size and page count at initial and final submission, the review form that is to be used, the journal section where the article will be scheduled if accepted, etc. Table 9 shows some examples.

Table 9. Sample Types of Submission

Type of Submission Examples
Survey paper
Regular paper
Brief paper
Technical note
Letter to the Editor
Book review

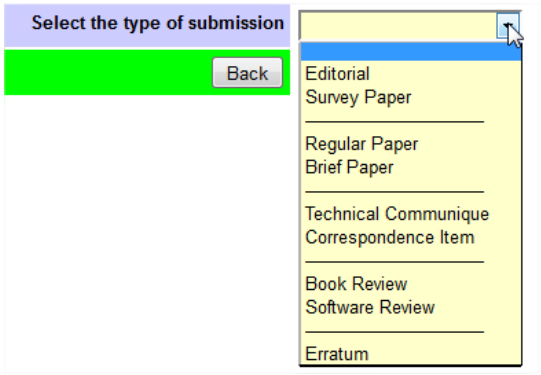
1.9 Workflow Steps

In this section we discuss some of the workflow steps.

1.9.1 Who Receives a New Submission?

When an author submits a new paper, the first question that confronts the author is to select the type of submission.

Figure 1. Select the Type of Submission



Any item in this list only appears under these conditions

1. The type of submission is in the scope of the core privilege 'Receive initial submission' of at least one active user
2. The current date is within the Opening date – Closing date window of the type of submission

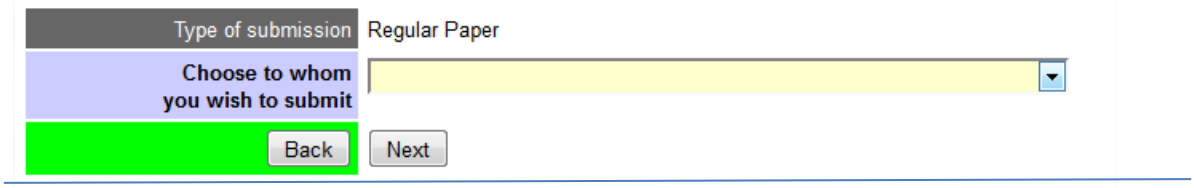
Thus, for Journals A and B we need to make sure that all types of submission are within the scope of the 'Receive initial submission' privilege of the role 'Editor-in-Chief'. For Journal C they need to be in the scope of the 'Receive initial submission' privilege of the role 'Editor'.

After the author has selected a type of submission, the next request of the submission wizard is as shown in Figure 2. The dropdown list that appears shows the editorial board members who process this type of submission.

If a certain type of submission (such as perhaps the Editorial in the example above) is not included in the scope of any editorial board member then submissions of this type cannot be submitted externally but need to be uploaded internally by a suitably authorized user.

After the submission has been uploaded the handler of the paper receives a notification by email and the submission appears in the handler's Urgent Task List.

Figure 2. Who Receives the Submission?



1.9.2 Who Receives a Resubmission?

If an author has been instructed to prepare and submit a revised version of his paper, then the author needs to log in to his author workspace where he finds a link to resubmit the paper.

When a resubmission is initiated the script determines which of the handlers of the previous version of the paper is entitled to receive the resubmission or who else is entitled to receive the resubmission. This is done by scanning the 'Receive resubmission' privileges and their scope of the active users.

If there are several potential recipients then the authors may choose from a dropdown list.

After the resubmission has been uploaded the status of the submission is 'Received. The handler of the paper receives a notification by email and the submission appears in the handler's Urgent Task List.

1.9.3 Handler Assignment

A submission may be assigned to one or several handlers.

A handler may assign a paper to another handler provided that the original handler has the advanced editorial privilege 'Assign a submission' configured. The default scope of this privilege is 'Any user who reports to the User.' Alternatively or additionally the scope may include users with specified roles.

Whether or not one user reports to another user is configured when the users are set up.

Handlers who have at least one other user reporting to them are designated 'Supervisor' by the system.

In the case of Journal B, the Editor-in-Chief should be able to assign submissions to any of the Editors, so each of the Editors should be configured as reporting to the Editor-in-Chief.

In the case of Journal C, each Editor should be able to assign submissions to at least one Associate Editor. Again this may be accomplished by letting each Associate Editor report to one or several Editors.

After a submission with the status 'Received' has been assigned its status changes to 'Under review'.

After having assigned the submission the original handler remains a handler of the submission.

1.9.4 Review Solicitation

The default scope of the privilege 'Solicit reviews' is 'All assigned submissions.' Reviews may only be requested if the status of the submission is 'Under review.'

1.9.5 Review Summary Report

Handlers whose duty it is to collect reviews (the Editor of Journal B or the Associate Editors of Journal C) normally are expected to prepare and submit a Review Summary Report including a publication recommendation when the reviews are in. They will have a link for this purpose in their Submission Menu provided that they have the 'Review summary report' privilege (default scope 'All assigned submissions.').

After a Review Summary Report has been submitted the status of the submission changes from 'Under review' to 'Decision pending'. The Review Summary Report is available to all handlers of the submission, including the supervisor.

A publication decision may be prepared and submitted if the status of the submission is 'Under review' or 'Decision pending' and the handler has the privilege 'Publication decision' (default scope 'All assigned submissions') for the submission.

If a Review Summary Report is available for the submission then this is displayed on the Decision page.

After the details of the Publication decision have been completed there are several ways to deal with the Publication decision:

1. The Publication decision is saved as a Draft publication decision Nr. *n*. This draft is available to all handlers and may be updated by those handlers who have the Publication decision privilege. This way a publication

decision may be developed interactively. During this process the status of the submission remains 'Decision pending.'

2. The Publication decision or Draft publication decision is executed and communicated to the authors. This may only be done by a user who has the 'Author notification' privilege for the submission. After the decision has been executed the submission assumes the decision status that results from the decision.

1.9.6 Receive Final Submission

If the publication decision is to allow the author to upload the final manuscript then it is received by the handler who has the privilege 'Receive final submission' for the submission. It then assumes the status 'Final version received'.

1.9.7 Approve Final Version

If any of the current handlers of the submission has the privilege 'Approve final version' for the submission then at the time the final version of the submission is submitted this handler receives an email with the request to inspect and approve the final version.

1.9.8 Dispatch to Publisher

Finally, if the submission has the status 'Final version received' and the final version has been approved, it may be dispatched to the publisher by any handler who has the privilege 'Dispatch to publisher' for the paper. When this has been completed the status of the paper is 'Forwarded to publisher.'

1.10 Other Features

1.10.1 Reviewers List

Editorial staff may compile and maintain their own reviewers' lists. To this end they may search the people database or add new individuals to the people database.

1.10.2 Reminders and Thanks

Editorial staff may send reminders to overdue reviewers or authors and thank you notes at a mouse click.

1.10.3 Special Issues

Special issues including guest editorial staff may easily be configured and managed.

1.10.4 ToC Management

Accepted papers may be scheduled for publication with full control of the Table of Contents.

1.10.5 Database Reports

At a mouse click the system generates various reports

- Assignments overview
- Paper flow by handler
- Turnaround
- Decisions
- Timeliness (conformant to IEEE requirement)
- Reviewers list
- Digest (extracts submission information)
- Geographical distribution

1.10.6 Form Letters

The system supports a large number of form letters with a versatile set of merge fields. Each form letter may optionally be customized by the individual users.

1.10.7 Customizable Review Forms

Individual review forms may be prepared for each type of submission.

1.10.8 Attachments to Submissions

The system allows optional or mandatory attachments to submissions to be uploaded by the authors.

1.10.9 Plagiarism Scanning

Plagiarism scanning is supported for journals that have an account at iThenticate. Submissions may be scanned automatically upon submission or at the request of the editorial staff.

1.10.10 Open Access Option

For IEEE journals the Open Access option may be enabled.

1.10.11 Copyright Transfer

For IEEE Journals, copyright transfer (either at final submission or initial submission) using the IEEE eCopyright server is supported. Other journals may require authors to upload a completed and signed copyright form.

1.10.12 Restricted Authors List

Optionally the journal may maintain a list of restricted authors. For IEEE Journals import of the IEEE Prohibited Authors list is supported.

1.10.13 Similar Submissions

If the Similar submissions feature has been enabled, the system scans the database for other submissions by the authors of the paper when a new paper is submitted and a report is attached to the email that notifies the recipient of the paper. Upon request the system may be searched for earlier or other submissions with similar titles or similar content.

1.10.14 Pdf Checking and File Stamping

Pdf files uploaded by authors may be checked for compliance and automatically stamped with date and journal identification.

2 How to Configure the System

This Chapter provides detailed instructions on configuring the Papercept Journal Submission and Review Management System.

2.1 First Setup

When the journal is first configured the configuration steps are best followed in the order detailed below.

2.1.1 Types of Submission

The types of submission may be configured by an Administrator or any user who has the administrative privilege 'Configure the Types of submissions'. Follow the link Tools ⟶ Types of submissions.

Click on 'Add a new type of submission.' At this point only complete the mandatory fields Type of submission, Label, Code, Initial submission: Maximal file size, Maximal page count, Maximal character count, Final submission: Maximal file size, Maximal page count, Maximal character count and Do not require keywords.

Note 1: The only function of the Label (to be entered as an integer) is to determine the order in which the types of submission are displayed in various lists. If there is a gap in the ordered list of labels then a horizontal separating line is inserted at the corresponding location in dropdown list (see Figure 1).

Note 2: For the Code use a unique identifier such as FP for Full Paper, etc.

Note 3: For the creation of types of submission intended to be used for Special Issues see 2.2.1 Special Issue Configuration.

Warning: Internally each type of submission is identified by an ID. If the system refers to a type of submission it refers to the ID. Therefore, once a type of submission has been in use for some time be very cautious in changing its properties, especially its name and code. For instance, if you decide to discontinue a certain type of submission, do not delete it because this will result in internal inconsistencies. Also, for the same reason, do not change its name.

Note 4. Return to this page to configure the review form for each type of submission after at least one review form has been set up on the page Tools ⟶ Review forms (see 2.1.6 Review Forms).

Note 5. Return to this page to configure the attachments for each type of submission after the attachments have been configured (see 2.3.1 General, Enable attachment upload).

Note 6. For the configuration of the ToC sections see 2.3.11 Issue management.

2.1.2 Roles

Roles may be configured by an Administrator or any user who has the administrative privilege 'Configure the Roles'. Follow the link Tools ⟶ Roles.

Click on 'Add a new role'. Enter the name of the role and check all core privileges that apply. Click on 'Submit' to save the information.

If the role has the privilege 'Receive initial submission' then configure the correct scope. For most other privileges the default scope usually is the correct choice.

If the role requires any advanced privileges then click on Advanced privileges, Set. A long list of advanced editorial and administrative

privileges appears. For most roles only very few advanced privileges need to be set:

- If users in this role need to be able to assign submissions to other users, enable 'Assign a submission,' typically with the default scope 'Any user who reports to the user.'
- For roles that involve soliciting reviews it is recommended to enable the administrative privilege 'Manage PINs (core fields only)'. This allows these users to add new individuals to the people (PINs) database and update email addresses when needed.
- For certain roles the option 'Keep identity hidden from authors' may be appropriate.

All other privileges should be granted with circumspection – see 2.2.3 Advanced Role and User Privileges.

Note: For the creation of roles for guest editorial staff for Special Issues see 2.2.1 Special Issue Configuration.

2.1.3 Users

Users may be configured by an Administrator or any user who has the administrative privilege 'Manage the Users'. Follow the link Tools ⟶ Users.

Now the time has come to configure the editorial staff. To this end, click on 'Add a new user' for each user that needs to be created.

The fields PIN, Name and Role are mandatory. If necessary the Name field may be edited so that it differs from the entry in the PINs database.

Note: Some editorial staff members, especially Editors-in-Chief or Editors, may find it convenient to use a different PIN than the one that they use for their conference activities, especially if they have a dedicated email address for their editorial activities. In such a case they should create this second PIN in addition to their normal PIN and subsequently mark it as inactive. This way the dedicated PIN may only be used to log in to the journal and not for submitting conference papers or receiving review requests.

The optional field Label may be used for additional clarification of the user's role. For instance, in the case of Journal C there typically are several Editors, each with a different area of expertise, which may be specified by the label, for instance 'Theory', 'Applications'. The label has no functional role but if defined it is displayed in parentheses whenever the user's role is shown:

> Johnson, John J., Editor (Applications of Magnetic Fields)
> McIntosh, Bert, Editorial Assistant (to Editor J.J. Johnson)

The optional field 'Report to' serves to define a hierarchical relationship between users. This setting takes effect if a user has the advanced privilege 'Assign to' with the scope 'All users that are assigned to the user.' There may be several instances of the 'Report to' field for a user. Handlers who have at least one other user reporting to them are designated 'Supervisor' by the system.

The optional field 'Interests' may be used to describe the user's editorial interests. If this field is requested and nothing has been entered then the user's keyword list from the PINs database is displayed.

Check the box 'Inactive' if the user's term of appointment has expired but the user still needs access to his account to complete his or her tasks. This user will not be available for new tasks and disappears from certain lists.

Checking the box 'Account closed' closes the user's access to his account.

The fields Appointment dates (free format), Expiry date and Comments are available for a very basic term of service administration. If the Expiry date has been completed then the

user's name appears in a popup list on the Users page if the user's term is about to expire or has already expired.

Do not delete a user after the user's term has expired because this will affect the integrity of the database. Users whose account has been closed no longer appear on the Users page except if the box 'Show all users including the inactive users' is checked.

Do not forget to click on the Submit button to save the information.

Warning: Internally the system refers to users by their ID. For this reason, be cautious in changing the user key properties, in particular the user's name and role, after the user has been active for some time. Do not delete the user because this will affect the database integrity. If the user is moving to new activities, deactivate and close the current account and create a new account for the new activity. If a user's personal data change (for instance the e-mail address) this should be updated in the PINs table.

2.1.4 Form Letters

The form letters may be configured by an Administrator or any user who has the administrative privilege 'Manage the Form letter'. Follow the link Tools ⟶ Form letters.

The system supports a large set of form letters. Drafts for some of them may already be in place. They all need to be reviewed and edited before the system is deployed.

The form letters that are accessed under Tools/Form letters are default form letters for all the users. Each user may customize the form letter that the user needs under Preferences. If the system requires a form letter it first looks for a personalized form letter for the user who needs the form letter. If none is found then the default system-wide form letter is used.

Users almost always are able to view and edit their messages before they are sent. The only exception occurs in automatic replies. For instance, if an author submits a new paper or resubmits a paper then the system automatically sends an acknowledgement based on the form letter for that purpose.

It is recommended to keep the system wide form letters as generic as possible. This is greatly facilitated by using the merge fields that are supported.

Click on a form letter's name to edit it. While working on the letter click on 'Update the sample previews and fit box to size' to display previews of the letter in html and text format, When done click on 'Save' to save the form letter.

In the category 'Decision letter' as many form letters may be created as needed, for instance one for a Reject decision, one for a Revise decision, etc. Click on 'Click to create a new decision letter' to create a new decision letter.

The form letters Staff communication 1, 2, 3, 4 may be used for internal staff communications. The form letters Author communication 1, 2, 3, 4, 5 and Reviewer communication 1, 2 serve a similar purpose.

2.1.5 Decision Statuses and Decision Profiles

The decision statuses and decision profiles for the journal may be configured by an Administrator or any user who has the administrative privilege 'Manage the Decision profiles'. Follow the link Tools ⟶ Decision profiles.

The system allows configuring an arbitrary set of publication decisions and decision statuses.

A ‘decision status’ is the status that the submission receives as a result of a publication decision. These are statuses such as ‘Accepted’, ‘Provisionally accepted’ and ‘Rejected.’ The system also supports a number of built-in statuses such as ‘Received’, ‘Under review’, ‘Decision pending’, … that cannot be configured.

Each decision status has a corresponding action for the corresponding author:

- Resubmit,
- Submit final version, or
- None

Resubmit has some further options such as which type of submission may be resubmitted.

Each type of submission may have its own set of decisions. A group of types of submission that has the same set of decisions is called a Decision Profile.

After opening the Decision Profiles page follow the link Decision statuses. For a journal with several types of submission this page could look as in Figure 3.

Figure 3. Sample Decision Statuses

Decision Statuses

☐ Show the decision and status codes to authors and reviewers
This option is automatically saved when the box is checked or unchecked

Decision status	Author's required action	Type of submission after resubmission	Do not require author's response	Issue new ID upon resubmission	Issue new number upon resubmission	Author's deadline	Deadline binding	Order tag
Accepted	Submit final version	[Unchanged]				60	✗	1
Accepted as Regular Paper	Submit final version	Regular Paper				60	✗	1a
Accepted as Brief Paper	Submit final version	Brief Paper				60	✗	1b
Provisionally accepted	Resubmit	[Unchanged]	✗	✗		90	✔	2
Provisionally accepted as Regular Paper	Resubmit	Regular Paper	✗	✗		120	✔	2a
Provisionally accepted as Brief Paper	Resubmit	Brief Paper	✗	✗		120	✔	2b
Provisionally rejected	Resubmit	[Unchanged]	✗	✗		90	✔	3
Provisionally rejected - may be resubmitted as Regular Paper or Brief Paper	Resubmit	Regular Paper; Brief Paper	✗	✗		120	✔	3a
Provisionally rejected - may be resubmitted as Regular Paper	Resubmit	Regular Paper	✗	✗		120	✔	3b
Provisionally rejected - may be resubmitted as Brief Paper	Resubmit	Brief Paper	✗	✗		120	✔	3c
Rejected - may be resubmitted as Technical Communique	Resubmit	Technical Communique	✔	✔		120	✔	3d
Rejected	None							4
Rejected - may not be resubmitted	None							4a
Rejected as Survey Paper - may be resubmitted as Regular Paper	Resubmit	Regular Paper	✗	✗		120	✔	4b1
Rejected as Survey Paper - may be resubmitted as Technical Communique	Resubmit	Technical Communique	✔	✔		120	✔	4b2
Rejected for Special Issue - may be resubmitted as Regular Paper	Resubmit	Regular Paper	✗	✗		120	✔	4c1
Rejected for Special Issue - may be resubmitted as Brief Paper	Resubmit	Brief Paper	✗	✗		120	✔	4c2
Rejected for Special Issue - may be resubmitted as Technical Communique	Resubmit	Technical Communique	✔	✔		120	✔	4c3
Returned for clarification	Resubmit	[Unchanged]	✗	✗		30	✔	5a
Returned without review	None							5b
Submission pending	Resubmit	Survey Paper	✔	✗		--		6

Use Add a status to configure a new status. Click on the name of an existing status to edit its properties.

- Name. Unique and descriptive name for the decision status.
- Code (optional). Some journals use codes for the various decisions and the resulting statuses.
- Author’s required action. One of Resubmit, Submit final version, or None.
- Type of submission. Not available if the required action is None. [Unchanged] means that the type of submission remains the same upon resubmission or final submission. It is possible to select several types here.
- Do not require Author’s response (Yes/No). Normally, when authors resubmit a paper or submit the final version they are required to prepare and attach an Author’s response that explains how the comments and recommendations of the reviewers and

editorial staff were dealt with in the revised or final version. This setting overrides any global settings on the Author's response option page (see 2.3.3 Resubmission.)

- Issue new ID upon resubmission (Yes/No). If this property is checked then the submission receives a new submission ID upon resubmission so that it is processed as a new submission.
- Issue new number upon resubmission (Yes/No). This only applies if the journal uses customized submission numbers that for instance depend on the type of submission (see 2.3.1.) If this property is checked then the submission receives a new submission number upon resubmission.
- Author's deadline. The corresponding author's deadline in days after the decision date.
- Deadline binding (Yes/No). If the deadline is binding then the corresponding author can no longer resubmit or submit the final version after expiration of the deadline.
- Order tag. The sole purpose of this alphanumeric tag is to order the decisions in logical groups.

A decision status is the status that a submission assumes as the result of a publication decision. The various possible publication decisions and resulting statuses may be grouped together in decision profiles. To this end, follow the link Decision profiles. A decision profile consists of one or several types of submission that all have the same Decision ⟶ Decision status pairs. Figure 4 shows two sample decision profiles.

To create a new profile click on 'Add a profile.'
To create a new decision use 'Add a decision.'
To edit a profile or decision, click on it.

Figure 4. Sample Decision Profiles

Decision Profiles

☐ Show the decision and status codes to authors and reviewers
This option is automatically saved when the box is checked or unchecked

Profile name	Types of submission	Decision	Resulting status	Order tag
Brief Papers	Brief Paper	Accept as Regular Paper	Accepted as Regular Paper	1a
		Accept as Brief Paper	Accepted as Brief Paper	1b
		Accept provisionally as Regular Paper	Provisionally accepted as Regular Paper	2a
		Accept provisionally as Brief Paper	Provisionally accepted as Brief Paper	2b
		Reject provisionally - may be resubmitted as Regular Paper	Provisionally rejected - may be resubmitted as Regular Paper	3b
		Reject provisionally - may be resubmitted as Brief Paper	Provisionally rejected - may be resubmitted as Brief Paper	3c
		Reject - may be resubmitted as Technical Communique	Rejected - may be resubmitted as Technical Communique	3d
		Reject - may not be resubmitted	Rejected - may not be resubmitted	4a
		Return for clarification	Returned for clarification	5a
		Return without review	Returned without review	5b
Other Submissions	Editorial; Software Review; Erratum; Book Review	Accept	Accepted	1
		Accept provisionally	Provisionally accepted	2
		Reject provisionally	Provisionally rejected	3
		Reject	Rejected	4
		Return for clarification	Returned for clarification	5a
		Return without review	Returned without review	5b

2.1.6 Review Forms

The review forms may be configured by an Administrator or any user who has the administrative privilege 'Manage the Review forms'. Follow the link Tools ⟶ Review forms.

As many review forms may be configured as needed. A review form may have four sections that do not need to be all present.

1. Review guidelines (optional)
2. Assessment/evaluation section
3. Recommendation section
4. Comments section

The order of the sections 2-4 may be interchanged.

The review forms page has 4 tabs: General, Assessment/evaluation section, Recommendation section, Comments section and 3 commands Save, Load, Preview.

Use Save to save a review form, Load to load an existing review form and Preview to preview a review form.

General

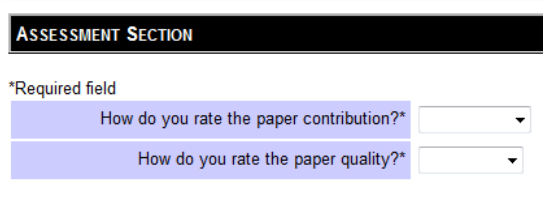
On the General page the order in which the sections Assessment/evaluation, Recommendation and Comments appear may be set.

This page also serves to enter the Review guidelines, if any. The 'Label' defines their header on the review form.

Assessment/evaluation section

The assessment/evaluation section of a review form may look as in Figure 5.

Figure 5. Assessment Section of a Review Form

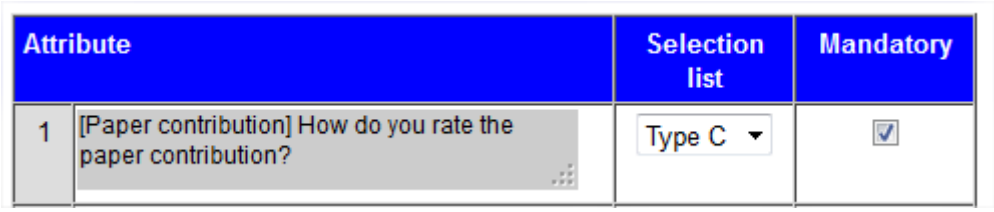


To configure this section follow these steps.

1. Enter the section header into the box 'Label'.
2. Drag the attribute of your choice from the attributes area on the right to a box in the Attribute table (see Figure 6.) If desired, the text 'How do you rate the paper contribution?' may be altered to, say, 'How do you rate the importance of this paper?' The optional field [Paper contribution] (make sure to observe the format) is an abbreviation for the entry that will be used when the review content is displayed to the editorial staff.
3. Select the desired selection list. Assorted selection lists are shown in the selection list area near the bottom of the page.
4. Check or uncheck whether or not this attribute is mandatory.
5. Repeat steps 2-4 for all other attributes that you wish to include.

If no attribute is configured then the assessment/evaluation section is omitted from the review form.

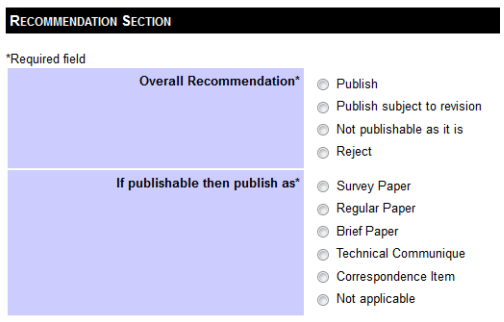
Figure 6. Attribute Configuration



Recommendation section

The recommendation section of a review form cannot be omitted. It could look as in Figure 7.

Figure 7. Recommendation Section of Review Form



To configure the options for the Overall recommendation, drag the desired options from the right to the boxes in the Options table (**Error! Reference source not found.**.)

Again [Accept subject to changes] and [Reject] is what will appear in the review summaries. These shortened labels and the longer descriptive texts may be edited as needed.

On the configuration page, next select the options that are to appear in the item 'If publishable then publish as.' If no options are selected then this item does not appear.

Additionally, the configuration page allows to enable the items "Please check if you wish to see the revision" and "Please indicate your confidence in the subject of the submission" in the Recommendation section.

Finally, one or several follow-up items may be configured in the Recommendation section. For instance, the configuration of Figure 10 results in the additional item on the review form shown in Figure 9.

Figure 8. Configuration of Options for Overall Recommendation

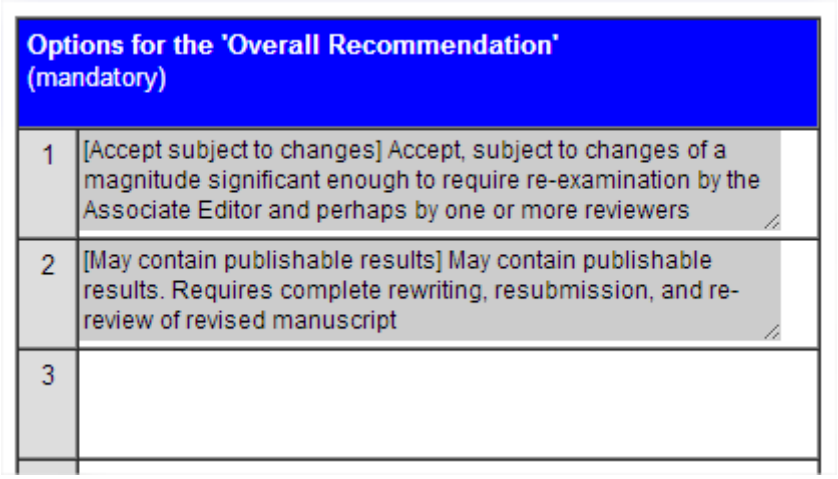

Options for the 'Overall Recommendation' (mandatory)
1
[Accept subject to changes] Accept, subject to changes of a magnitude significant enough to require re-examination by the Associate Editor and perhaps by one or more reviewers
2
[May contain publishable results] May contain publishable results. Requires complete rewriting, resubmission, and re-review of revised manuscript
3

Figure 9. Overall Recommendation Section with Follow-Up Item

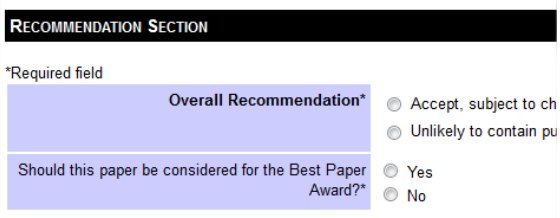
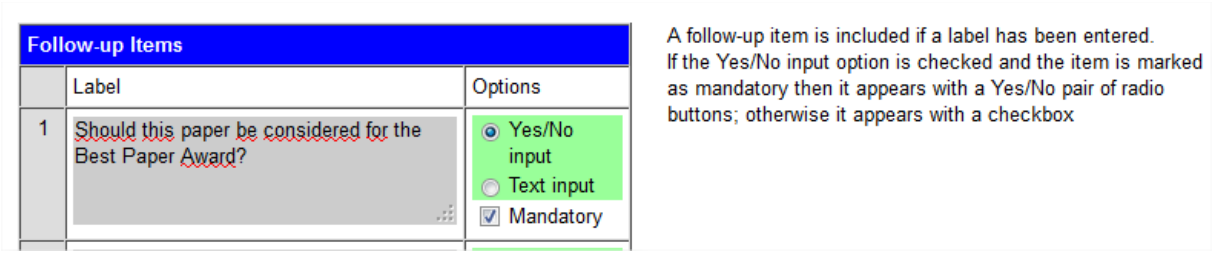


Figure 10. Configuration of Follow-Up Item


Follow-up Items
Label
Options
1
Should this paper be considered for the Best Paper Award?
Yes/No input
Text input
Mandatory
A follow-up item is included if a label has been entered.
If the Yes/No input option is checked and the item is marked as mandatory then it appears with a Yes/No pair of radio buttons; otherwise it appears with a checkbox

Comments section

On the Comments section configuration page it may be indicated if the review form includes an optional or mandatory field 'Confidential comments to the Editorial Staff' and an optional or mandatory field 'Comments to the Author'. In both cases the 'Label to be included as advisory note' is intended for more or less elaborate instructions to the reviewers.

It may also be configured if reviewers are allowed to upload an attachment in pdf format to their review.

If none of these three items are configured then this section is omitted.

Save the review form

After completing and previewing a review form, do not forget to save it as a new or existing review form.

Under Tools ⟶ Types of submission it may be configured which review form is to be used for each type of submission.

2.1.7 Other Configuration at First Setup

At first setup there are a number of other configuration issues that require attention.

- Attachments to submissions (see 2.3.1 General, Enable attachment upload and 2.1.1 Types of Submission).
- Advanced privileges for certain roles. For certain roles, especially roles such as Editor-in-Chief or Editor, it will be necessary to grant a number of advanced editorial and administrative privileges to allow these users to carry out their duties (see 2.2.3 Advanced Role and User Privileges).
- Copyright transfer (see 2.3.1, Enable IEEE eCopyright transfer).
- Open Access option (see 2.3.1, Enable the Open Access option)
- Initial submission options (see 2.3.2 Initial Submission)
- Resubmission options (see 2.3.3 Resubmission)
- Final submission options (see 2.3.4 Final Submission)
- Dispatch to Publishers settings (see 2.3.5 Dispatch to Publishers)
- Announcement (see 2.2.2 Announcement)
- Issue management (see 2.3.11 Issue Management) and Table of Contents (see 2.2.5 Table of Contents)
- Pdf checking and file stamping (see 2.3.9 Pdf Checking and 2.3.10 File Stamping)
- Allow tagging (see 2.3.1, Allow tagging)
- Restricted authors list (see 2.2.6 Restricted Authors List)
- iThenticate scanning (see 2.2.7 iThenticate Plagiarism Scan)
- Reports (see 2.2.8 Timeliness Report)
- Backups (see 2.2.10 Backups)

2.2 Advanced Configuration

2.2.1 Special Issue Configuration

Planning and configuring a special issue requires access to the pages

- Tools ⟶ Types of submission,
- Tools ⟶ Decision profiles,
- Tools ⟶ Roles and
- Tools ⟶ Users.

Planning and configuring a special issue involves two separate steps:

1. Plan and configure the types of submission for the special issue
2. Plan and configure the management of the special issue

Types of submission

First decide which types of papers the special issue will contain and configure them under Tools ⟶ Types of submissions, for instance

Survey paper, Crossroads Special Issue
Regular paper, Crossroads Special Issue

Use the fields Opening date and Closing the date to control the submission window.

Warning: Create new entries for each new special issue. Do not edit entries for a previous special issue because this will corrupt the database.

Note: After setting up the new types of submission make sure that they are included in a suitable decision profile (see 2.1.5 Decision Statuses and Decision Profiles.).

Supervision and management

Next, plan the workflow for the submissions for the special issue and who will supervise and manage the evaluation of the papers that are submitted for the special issue. The latter may include one or several Guest Editors, a Corresponding Guest Editor, one or several Guest Associate Editors and one or several members of the permanent editorial staff.

If you plan to have Guest Editors and/or Guest Associate Editors it is best to create generic corresponding roles that will be used for each special issue (see 2.1.2 Roles.)

Of course each time different individuals will assume the role. Thus, if the individual John J. Johnson is to be the Guest Editor for the Crossroads Special Issue, add John J. Johnson to the Users with the role Guest Editor and label Crossroads Special Issue (see 2.1.3 Users.) Accordingly, the system will refer to this individual as Guest Editor (Crossroads Special Issue).

Because the definitions of the roles Guest Editor and Guest Associate Editor need to be generic they cannot refer to the types of submission that were configured for the special issue. Any such references need to be linked to the individuals who participate in the management of the special issue.

For instance, suppose that the Guest Editor for a special issue should receive all submissions for the special issue. In this case, do *not* activate the privilege ‘Receive initial submission’ for the role Guest Editor. Instead, assign this privilege to the user John J. Johnson as follows:

1. On the Users page, click on the user’s name
2. Click on ‘User privileges’ near the top of the page
3. The privilege ‘Receive initial submission’ should be displayed as in Figure 11. Default Privilege for Guest Editor.
4. Modify ‘Inherit’ to ‘Enable’ and click on ‘Submit’

5. Change the scope of the privilege from 'None' to 'Regular Paper, Crossroads Special Issue' as in Figure 12. Privilege for Individual Guest Editor

Normally the 'Receive initial submission privilege' will be the only privilege that needs to be assigned on the personal level.

If a Guest Editor is to work with Guest Associate Editors then make sure that the Guest Editor role has the Assign privilege (with scope All assigned submissions) and that on the Users page all Guest Associate Editors are configured to report to the Guest Editor.

Normally the Editor-in-Chief or principal Editor of the journal will have access to all submissions. If not then it may be necessary to make sure that she or he also has access to the submissions for the special issue. It may also be necessary to configure that he or she receives the final accepted versions of the papers for the special issue.

If an existing member of the editorial staff should also participate in the management of the special issue or oversee it then it is best to make this individual a Guest Editor or Guest Associate Editor. If this individual should be able to see all submissions for the special issue even if they are not assigned to him, make sure that the individual has the View submissions privilege (on the user level) with as scope the submissions for the special issue.

As the final step in configuring the special issue, check if the settings for the Open Access option (see 2.3.1, **Enable the Open Access option**) and iThenticate scanning (see 2.2.7 iThenticate Plagiarism Scan) need adjustment.

Figure 11. Default Privilege for Guest Editor

	Default role privileges for the role Guest Editor		User privileges for the user Johnson, John J.			
			Inherit	Disable	Enable	Scope
Receive initial submission	✗	Scope: None (Default)	◉	○	○	Scope: None (Default)

Figure 12. Privilege for Individual Guest Editor

	Default role privileges for the role Guest Editor		User privileges for the user Johnson, John J.			
			Inherit	Disable	Enable	Scope
Receive initial submission	✗	Scope: None (Default)	○	○	◉	Scope: Regular Paper, Crossroads Special Issue

2.2.2 Announcement

This option may be configured by an administrator or any user who has the privilege 'Post an announcement.' It may be accessed at Tools ⟶ Announcement.

The option serves to enter and edit the announcement that appears on the journal Access page. Enter the text of the announcement including any html formatting. Click on 'Fit to size and update the preview' when needed and click on 'Save' to save the announcement. To post the announcement, check the box 'Enable the announcement' before saving the announcement.

2.2.3 Advanced Role and User Privileges

The system supports a large set of advanced role and user privileges. They are distinguished as editorial privileges and administrative privileges.

Role privileges may be configured by an administrator or any user who has the privilege 'Configure the Roles.' User privileges may be set by an administrator or any user who has the privilege 'Manage the User privileges.'

Role privileges are attached to a role and user privileges are assigned to a user. The privileges that may be assigned on either level are identical except that the special privilege 'Assume proxy rights' may be assigned on the user level only.

Most privileges are of the Yes/No type but some have a scope.

To configure the advanced role privileges, go to Tools ⟶ Roles, click on a role, and click on Advanced privileges, Set. To enable or disable one or several privileges, check or uncheck the privileges and click on 'Save' at the bottom of the page. To set the scope of a privilege (if any), follow the link Scope for the privilege.

To configure the advanced user privileges, go to Tools ⟶ Roles, click on a user's name, click on User privileges near the top of the page, and click on Advanced privileges, Set. For each privilege, the page lists whether or not the user has the privilege according to the user's role, and its scope (if any). It then is possible to select whether user inherits the privilege (default), or if the privilege should be disabled or enabled. After making changes make sure to click on the Save button near the bottom of the page. After this the scope may be set (if any) of privileges that were enabled.

User privileges are used to override or enhance the privileges implied by the user's role.

See Table 11 at the end of this section for recommended advanced privileges for Editors-in-Chief and Editors.

The following advanced editorial privileges are supported.

- **Update a submission record** (see 3.16.1 Database Entry)
- **Manage the files for a submission** (see 3.16.2 Files)
- **Manage editorial uploads**. See Options ⟶ General ⟶ Enable attachment upload.
- **Check for similar submissions**. See 3.16.11 Similar Submissions.
- **Add a new submission record**. If the user has this privilege then the user has a link for this purpose on his Submissions list page (see 3.3.2 Submissions List)
- **Allow access to previous submission**. If the user has this privilege then if a submission was previously submitted with a different submission ID, the user has a link on the Database entry page of the submission (see 3.16.1 Database Entry) to access the previous submission.
- **Assign a submission**. If a user has this privilege for a submission then the user may assign the submission to another user (see 3.4 Assigning Submissions). The default scope is 'Any user who reports to the User' but this may be changed.
- **Assign submission to handler of previous version**. If a user has this privilege for a submission then the user may assign the submission to a handler of a previous version of the submission. The default scope is 'No one' but this should be changed when the privilege is set.
- **Transfer a submission**. If a user has this privilege for a submission then the user may transfer the submission to another user (see 3.16.5 Transfer). The default scope is 'No one' but this should be changed when the privilege is set. If a submission is transferred then the handler who transfers it no longer is a handler.
- **Share a submission**. If a user has this privilege for a submission then the user may add another user to the handlers of the submission (see 3.16.6 Share). The default scope is 'No one' but this should be changed when the privilege is set.
- **View iThenticate score and report**. If iThenticate plagiarism scanning has been

enabled (see 2.2.7 iThenticate Plagiarism Scan) and the user has this privilege then the user may see the score and report (if available) for all submissions to which the user has access.

- **Queue manuscripts for iThenticate scan and view the results**. If iThenticate plagiarism scanning has been enabled (see 2.2.7 iThenticate Plagiarism Scan) and the user has this privilege then the user may queue all submissions to which the user has access for scanning and see the score and report.
- **Edit iThenticate scan items**. If iThenticate plagiarism scanning has been enabled (see 2.2.7 iThenticate Plagiarism Scan) and the user has this privilege then the user may edit the scan item for all submissions to which the user has access.
- **Send reminders to handlers**. See 3.5.3 Request Confirmations, Send Reminders and Send Thank You Notes.
- **Advise the authors**. See 3.16.7 Advise.
- **Dispatch approved draft publication decisions**. See 3.10 Dispatch to Publisher.
- **Schedule submissions**. See 3.9 Schedule a Submission.
- **Manage protests**. See 3.16.9 Protest.
- **Manage the restricted authors list**, if this has been enabled (see 2.2.6 Restricted Authors List.)
- **Keep identity hidden from authors**. If this 'privilege' is enabled then the user's identity is not revealed to authors of the papers handled by the user. This option is ignored when authors submit or resubmit submissions to this user.
- **Disclose the user's own submissions**. By default a user does not have access to papers coauthored by the user, even if they are in the user's scope. If the user has this privilege then the user will be able to access these submissions.

These are the advanced administrative privileges supported by the system.

- Configure the Roles. See 2.1.2 Roles.
- Configure the Types of submissions. See 2.1.1 Types of Submission.
- Manage the Users. See 2.1.3 Users.
- Manage the User privileges. See 2.2.3, Advanced Role and User Privileges.
- Transfer workloads. See …
- Manage the Decision profiles. See 2.1.5 Decision Statuses and Decision Profiles.
- Manage the Options. See 2.3 Options.
- viewManage the Form letters. See 2.1.4 Form Letters.
- Manage the Review forms. See 2.1.6 Review Forms.
- Manage the ToCs. See 2.2.5 Table of Contents and 3.11 Manage the Table of Contents.
- Manage the iThenticate scan settings. See 2.2.7 iThenticate Plagiarism Scan and 3.16.10 iThenticate Scans.
- Post an announcement. See 2.2.2 Announcement.
- Query the database. For administrators only.
- Proxy log in. If a user has this privilege then the user may log in as another user. For administrators only.
- Manage PINs (core fields only). If a user has this privilege then the user may access records in the PINs database but modify the core fields (Surname, Given name, Affiliation, Country, Email address) only. See 3.12 Accessing the PINs Database.
- Manage PINs (all fields). If a user has this privilege then the user may access records in the PINs database and modify all fields. See 3.12 Accessing the PINs Database.
- Full control of all archive items. If a user has this privilege then the user may edit and otherwise manage the archive items of the submissions to which the user has access. See 3.16.4 Archive.
- Manage saved reviews. If a user has this privilege then the user may edit and otherwise manage the reviews of the submissions to which the user has access. See
- Observe the daily activity. See …
- View the User activities. If a user has this privilege then the user may request a database report for any other user listing this user's past and current activities in the system. See 3.12 Accessing the PINs Database.

- View the paper flow and assignments of all handlers. If a user has this privilege then when opening the Paper Flow Report the user may see the paper flow and assignments of all handlers. See 3.15.2 Paper Flow by Handler.
- View the decisions report of all handlers. If a user has this privilege then when opening the Decisions Report the user may see the decisions of all handlers. See 3.15.4 Decisions.
- View the turnaround report of all handlers. If a user has this privilege then when opening the Turnaround report the user may see the turnaround report of all handlers. See 3.15.3 Turnaround.
- Access all the reviewers in the Reviewers list. If a user has this privilege then when opening the Reviewers List Report the user may see all reviewers. See 3.15.6 Reviewers List.
- Configure the Timeliness report. If a user has this privilege then the user may configure the Timeliness report. See 2.2.8 Timeliness Report.)
- Create global Digests. If a user has this privilege then the user may generate digests for all submissions in the database. See 3.15.7 Digest.)
- Assume proxy rights. This privilege has as scope one or several or other users (to be configured.) If a user has this privilege then whenever the scope of any of the user's privileges is configured as 'Assigned sub-missions only' this is changed to 'All submissions assigned to the user and the users in the scope of the Assume proxy rights privilege.' This privilege is intended for the configuration of Editorial Assistants (see 2.2.4 Editorial Assistant.)

Table 10. Recommended Editorial Privileges

	Editor (Journal A) or Editor-in-Chief (Journals B and C)		Editor (Journal C)	
Editorial Privilege		Scope		Scope
Update a submission record	✓		✓	
Manage the files for a submission	✓		✓	
Manage editorial uploads				
Check for similar submissions	✓		✓	
Add a new submission record	✓			
Allow access to previous submission				
Assign a submission	✓	All roles	✓	Any user who reports to the user
Assign submission to handler of previous version				
Transfer a submission			✓	
Share a submission			✓	
View iThenticate score and report	✓		✓	
Queue manuscripts for iThenticate scan and view the results	✓			
Edit iThenticate scan items	✓		✓	
Send reminders to handlers	✓		✓	
Advise the authors	✓		✓	
Dispatch approved draft publication decisions				
Schedule submissions	✓			
Manage protests	✓		✓	
Manage the restricted authors list	✓			
Keep identity hidden from authors				
Disclose the user's own submissions	✓			

Table 11. Recommended Administrative Privileges

	Editor (Journal A) or Editor-in-Chief (Journals B and C)		Editor (Journal C)	
Administrative Privilege		Scope	Privilege	
Configure the Roles				
Configure the Types of submissions				
Manage the Users	✓			
Manage the User privileges				
Transfer workloads	✓			
Manage the Decision profiles Manage the Options				
Manage the Form letters	✓			
Manage the Review forms				
Manage the ToCs	✓			
Manage the iThenticate scan settings				
Post an announcement				
Query the database				
Proxy log in				
Manage PINs (core fields only)			✓	
Manage PINs (all fields)	✓			
Full control of all archive items	✓			
Manage saved reviews				
Observe the daily activity	✓			
View the User activities	✓			
View the paper flow and assignments of all handlers	✓			
View the decisions report of all handlers	✓			
View the turnaround report of all handlers	✓			
Access all the reviewers in the Reviewers list	✓			
Configure the Timeliness report	✓			
Create global Digests	✓			

2.2.4 Editorial Assistant

The system supports the configuration of a role Editorial Assistant, or similar. A user with this role has access to the submissions that are assigned to another user, and a number of appropriate privileges.

Since the duties of an editorial assistant may vary it is best to create a generic role Editorial Assistant (see 2.1.2 Roles) with minimal privileges. The recommended privileges are

- 'View submissions' as the only core privilege, with the default scope 'Assigned submissions only.'
- No advanced privileges.

All other privileges will be assigned on the user level.

In what follows we will describe how to configure an Editorial Assistant to one of the Editors of Journal C (see 1.6 Typical Role Assignments.)

The first step is to create the individual user (see 2.1.3 Users) and assign this user the role Editorial Assistant. Do not configure the 'Report to' field but enter something like the following into the 'Label' field: 'to Editor John J. Johnson' (without the quotes and without parentheses.) This will cause the user's administrative position to be displayed as

Editorial Assistant (to Editor J.J. Johnson)

whenever needed.

Once the user has been defined, follow the link 'User privileges' on the Update page for the user to configure the user's privileges.

The first and most important step is to go to the user's advanced privileges and to activate the special privilege 'Assume proxy rights' with as scope the user who is to be assisted (in this case Editor J.J. Johnson).

The result of this setting is that all submissions that are assigned to Editor J.J. Johnson are now also considered to be assigned to the Editorial Assistant.

Thus, if the Editorial Assistant would log in at this point, as a result of the 'View submissions' setting the Assistant would be able to access all the submissions currently assigned to Editor J.J. Johnson.

Note: If the scope of Editor J.J. Johnson's privilege 'View submissions' is not 'All assigned submissions' then the 'Assume proxy rights' privilege will not work for the Editorial Assistant. In this case the scope of the Assistant's 'View submissions' privilege should match that of the Editor.

With this (minimal) configuration, the Editorial Assistant has read-only access to the papers handled by the Editor. Additional privileges should be assigned to the Assistant on the user level depending on the Assistant's duties. This could be the full set of privileges that the Editor has (see Table 8. Roles and Privileges for Journal C, Table 10. Recommended Editorial Privileges and Table 11. Recommended Administrative Privileges.)

2.2.5 Table of Contents

The Tables of Contents of the journal may be managed by an administrator or any user who has the privilege 'Manage the ToCs.' Follow the link Tools ⟶ Tocs.

The page Manage the Tables of Contents displays a list of volumes for the journal together with some information about each volume.

If no volume has been configured yet then make sure that various default settings have been defined (see 2.3.11 Issue Management.)

To add a new volume click on 'Add a volume.'

Figure 13. Add a Volume

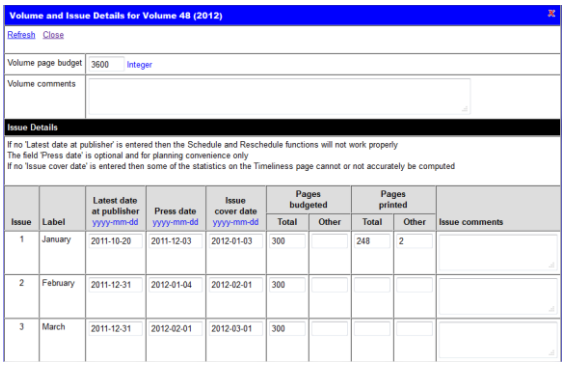
Add a New Volume
Refresh Close
Enter or edit the desired data and click on Submit
If you change the Volume then all items in the Table of Contents assigned to the current volume will be reassigned to the new volume
If you remove the Volume then all items in the Table of Contents assigned to this volume will be completely deassigned
If you change the list of issue numbers then any items in the Table of Contents assigned to issue numbers that no longer exist are completely deassigned
Volume
49
Integer
Label
2013
Example: 2008
Issue numbers
1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12
Comma separated list of unique issue numbers. Example: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12
Issue labels
January, February, March, April, May, June, July, August, September, October, November, December
Comma separated list of as many issue labels as there are issues. Example: January, February, March, April, May, June, July, August, September, October, November, December
Submit
Submit
Close

The system guesses the Volume and Label as best as it can. Correct or complete these fields if needed. The remaining fields are determined by the default settings. They may be edited for each individual volume. Click on 'Submit' to save the settings.

Next, do not omit to enter a number of detailed settings by clicking on 'Edit details' (see Figure 14.)

If you wish the Schedule and Reschedule functions to work (see 3.9 Schedule a Submission) then you *must* have all volumes and issues configured that are in the planning window (this includes most likely the current and next calendar year) and for each issue the Latest date at publisher. If there are no volumes and issues nothing may be scheduled. If the Latest date of publisher is known for each issue then papers may be scheduled for issues whose deadline has not yet elapsed.

Figure 14. Detailed Volume Properties



Volume and Issue Details for Volume 48 (2012)

Refresh Close

Volume page budget: 3600 Integer

Volume comments:

Issue Details

If no 'Latest date at publisher' is entered then the Schedule and Reschedule functions will not work properly
The field 'Press date' is optional and for planning convenience only
If no 'Issue cover date' is entered then some of the statistics on the Timeliness page cannot or not accurately be computed

Issue	Label	Latest date at publisher yyyy-mm-dd	Press date yyyy-mm-dd	Issue cover date yyyy-mm-dd	Pages budgeted Total	Pages budgeted Other	Pages printed Total	Pages printed Other	Issue comments
1	January	2011-10-20	2011-12-03	2012-01-03	300		248	2	
2	February	2011-12-31	2012-01-04	2012-02-01	300				
3	March	2011-12-31	2012-02-01	2012-03-01	300				

The field 'Press date' is optional and for planning convenience only. If no 'Issue cover date' is entered then some of the statistics on the Timeliness page (see 3.15.5 Timeliness) cannot or not accurately be computed.

If you wish the system to assist you in planning the issue page budgets then complete the field Volume page budget and the planned page budget for each issue. The 'Other' pages are the number of pages that you need to reserve for non-editorial material.

The Pages printed may only be entered after the issue has actually appeared.

Do not forget to click on the Submit button to save the data.

On the main Manage the Table of Contents page, click on the link 'Issues' to see the issues for a particular volume.

The Estimated pages are determined from the page count estimates entered for each scheduled paper (if any; see 3.11.1 Enter or Update the Estimated Size of an Item). Based on these estimates and the numbers of printed pages that have been entered the system determines estimates for the remaining pages for the successive issues

Figure 15. Issue Information for a Volume

Volumes and Issues

	Label	Latest date at publisher	Press date	Issue cover date	Items	Printed pages Editorial	Printed pages Other	Printed pages Total	Pages budgeted	Estimated pages Total | Rmng	Estimated pages Editorial	Estimated pages Other	Comments
Vol. 40 Issues	2004				242								
Vol. 41 Issues	2005				247								
Vol. 42 Issues	2006				266	2226	96	2322	2220				
Vol. 43 Issues	2007				240	2135	75	2210	2200				
Vol. 44 Issues	2008				400	3230	78	3308	3300				
Vol. 45 Issues	2009				415	3006	62	3068	2800				
Vol. 46 Issues	2010				283	2111	69	2180	3000				
Vol. 47 Issues	2011				369	2850	58	2908	3600				
Vol. 48 Issues	2012				67	246	2	248	3600				
Issue 1	January	October 20, 2011	December 3, 2011	January 3, 2012	31	246	2	248	300	245 | 52	245		
Issue 2	February	December 31, 2011	January 4, 2012	February 1, 2012	35				300	282 | 70	282		
Issue 3	March	December 31, 2011	February 1, 2012	March 1, 2012	0				300	0 | 370			
Issue 4	April	January 6, 2012	February 24, 2012	March 23, 2012	0				300	0 | 670			
Issue 5	May	January 27, 2012	March 23, 2012	April 19, 2012	0				300	0 | 970			
Issue 6	June	February 24, 2012	April 12, 2012	May 9, 2012	0				300	0 | 1270			
Issue 7	July	March 16, 2012	May 10, 2012	June 7, 2012	0				300	0 | 1570			
Issue 8	August	April 26, 2012	June 19, 2012	July 17, 2012	0				300	0 | 1870			
Issue 9	September	May 25, 2012	July 27, 2012	August 23, 2012	0				300	0 | 2170			
Issue 10	October	June 22, 2012	August 21, 2012	September 18, 2012	0				300	0 | 2470			
Issue 11	November	July 26, 2012	September 19, 2012	October 16, 2012	0				300	0 | 2770			
Issue 12	December	August 23, 2012	October 18, 2012	November 14, 2012	1				300	4 | 3066	4		

2.2.6 Restricted Authors List

If Options ⟶ Enable the restricted authors list has been activated the restricted authors list is available to admins and users who have the privilege 'Manage the restricted authors list'. Follow Options ⟶ Restricted authors list to reach the page.

If the sub-option 'Enable import of IEEE Prohibited Authors List' has been enabled as well then use the link 'Import the IEEE Prohibited Authors List' to import the latest version of the IEEE Prohibited Authors list.

On the main page of the restricted authors list, click on the link 'Add' to create a new entry or click on the ID of an existing entry to edit it. Alternatively, use the link 'Check restricted authors list' in the Submissions menu of an existing submission to access the restricted authors list.

The following fields may be completed:

- Surname*,
- Given name*,
- E-mail address,
- PIN,
- Submission ID,
- Date*,
- Expiry date,
- Date canceled,
- Comments*.

The Comments are meant to document the incident that caused the author to be included in the list. The list may have several entries for a single author. Also, the entries Surname, Given name, E-mail address, PIN and Submission ID may have several entries, separated by commas.

If the author of a newly submitted submission is detected to be on the Restricted authors list (by name, e-mail address or PIN) then the system flags the submission as On Hold. If a submission is On hold it cannot be assigned for further processing or for review. Final submissions that are flagged as On Hold cannot be approved or dispatched to the publishers.

The 'On Hold' flag may be undone (see 3.13 Restricted Authors List) by admins and users who have the privilege 'Manage the restricted authors list'.

2.2.7 iThenticate Plagiarism Scan

If iThenticate support has been enabled under Tools ⟶ Options ⟶ Enable iThenticate support then the item Tools ⟶ iThenticate scan is available for admins and users who have the privilege 'Manage the iThenticate scan settings.' The following options may be configured:

- For which types of submission newly uploaded submissions are automatically scanned and when (at initial submission, resubmission, final submission).
- Whether or not authors are allowed to see the similarity score and scan report of their paper.
- Whether or not high score submissions are flagged and the alert level.

Follow the link 'iThenticate statistics' to see some statistics of the scores that were obtained.

2.2.8 Timeliness Report

The Timeliness Report may be accessed at Tools ⟶ Reports ⟶ Timeliness. The Timeliness Report is compiled according to the format required by the IEEE for their journals' annual report.

Like several of the other reports supported by the system, the report is only compiled correctly if the Reports Tables are up to date (see 2.2.9 Reports Tables Maintenance.)

There are two options for the report, 'Types of submission to be included' and 'Years to be included.' These options may be selected and saved by each user individually.

However, the report requires the status classification to be correctly configured, typically once and for all. This may be done by

admins and users who have the privilege 'Configure the Timeliness report.'

Clicking on the link 'Configure the status classification' opens a configuration panel that lists all the statuses supported by the system.

This includes the predefined statuses Submission incomplete, Received, Under review, Decision pending, Resubmitted as new submission, Final MS received, Forwarded to publisher, Withdrawn, Discarded as well as all the decision statuses that have been configured for the journal (see 2.1.5 Decision Statuses and Decision Profiles.)

Each of these statuses needs to be mapped to one of the 7 status categories used by the Timeliness report:

1. Returned for scope reasons, obvious poor quality, etc.
2. Rejected
3. In review process
4. Being revised by authors
5. Other
6. Queued for publication
7. Published

Check the correct classification for each status and save the results by clicking on the Save button at the bottom of the panel.

2.2.9 Reports Tables Maintenance

Several of the reports that are supported by the system (see 3.15 Database Reports) depend on information stored in several report tables. These tables are compiled from the system log. The daily automatic update of these tables is triggered by the first user of the day who opens the Access page. By default this is an incremental update on weekdays and a complete rebuild of the tables on Sundays.

The default settings for this feature may be modified by admins only at Tools ⟶ Maintenance ⟶ Reports tables. The page also has an Update Now function.

2.2.10 Backups

Optionally, the system backs up the complete journal database periodically. These backups are saved permanently and are intended for archiving and auditing purposes.

The settings for this feature may be modified by admins only at Tools ⟶ Maintenance ⟶ Backups.

Automatic backups may be triggered by either, both or neither of these events:

1. *N* days elapsed since the last backup. By default $N = 7$.
2. *M* items were added to the system log since the last backup, with $M \geq 100$. By default $M = 500$.

The page has an Update Now function and available backups may be downloaded.

2.3 Options

The system supports a good number of optional settings that may be accessed at Tools ⟶ Options. These options may be managed by an administrator or any user who has the privilege 'Manage the Options.'

2.3.1 General

- **Hide the e-mail address in PIN wizard PIN look up results**.
  When PIN owners or visitors look up PINs in the PIN wizard the result list includes the PIN owner's email address. If this option is enabled then the email address is hidden.

Customized submission numbering.
By default upon receipt submissions receive a Submission ID that has the format

YY-nnnn,
with YY the last two digits of the year in which the submission was received, and nnnn a four-digit sequential number.
The current option allows defining a customized Submission number that is used to identify the submission in addition to the Submission ID. The customized Submissions number consists of up to three components separated by separators (see Table 12. Format String for Submission Number and Table 13. Examples of Valid Strings.)
Enter the desired Submission number format string into the box for this purpose and click on the Submit button to save it.

Table 12. Format String for Submission Number

Components of the format string	
Component	Symbol
Two-digit year code	YY
Submission code	SC
Sequential number	nnn
Separators	hyphen, period or underscore

Table 13. Examples of Valid Strings

Examples of valid strings	
YY-SC-nnn might be converted to 07-RP-001	nnnn.SC might be converted to 1324.RP

- **Deadlines and alerts**.
  Under this option the following deadlines and alerts may be set:

  ◊ Copyright transfer due time (triggers alert if copyright has not been transferred). Default 7 days.
  ◊ Assessment deadline for first submission (sets the assessment deadline after first submission) Default 90 days.
  ◊ Assessment deadline for resubmission (sets the assessment deadline after resubmission). Default 60 days.
  ◊ Decision deadline (sets the decision deadline after the assessment is complete). Default 14 days.
  ◊ Reviewer's review deadline (sets review deadline for reviewer). Default 42 days.
  ◊ Reviewer's confirmation due time (triggers alert if reviewer does not respond to review request) Default 7 days.

- **Enable attachment upload**.
  When this important option has been enabled it is possible to configure attachments that may be uploaded together with submissions.
  Click on 'Add a new attachment' or on the attachment name to set up or modify the attachment properties:

  ◊ Attachment name* (to appear on the submission page)
  ◊ Description* (to appear on the submission page)
  ◊ Label. This label is used for ordering the attachments only
  ◊ Options (several may be selected):

  – Mandatory upload
  – Allow belated uploads (if no attachment was uploaded at initial submission then this is still possible at resubmission)
  – Allow reupload at resubmission
  – Allow reupload at final submission
  – For final submission only
  – To be reviewed
  – Editorial upload. Editorial uploads are attachments that may be uploaded and seen by editorial staff only

◊ File code* (needed to identify the file)
◊ Admissible file extensions*
◊ Maximal file size*

- **Enable IEEE eCopyright transfer**.
  This option only appears if it has been configured in the configuration file of the site. If it is enabled then follow the link to configure. Various options are available such as requesting copyright transfer upon first submission or upon submission of the final accepted version only.
- **Enable iThenticate support.**
  Follow the link to enable iThenticate support. This requires the user name and password of a valid account at iThenticate. Once enabled there is a link to test the connection.
  If iThenticate support has been enabled then for admins and users who have the privilege 'Manage the iThenticate scan settings' there is a menu item Tools ⟶ iThenticate scan where various optional settings may be configured (see 2.2.7 iThenticate Plagiarism Scan).
- **Enable the Open Access option**.
  If this feature has been enabled then authors are offered the option to have their paper published under an open access scheme. The following items need to be configured:

  ◊ Legend for the Open Access option
  ◊ When the option should be hidden (initial submission, resubmission, final submission) if at all
  ◊ Whether authors are allowed to opt out once they have opted in
  ◊ For which types of submission the Open Access should not be offered

- **Enable the restricted authors list**.
  When enabled, the restricted authors list allows the journal to maintain a list of authors whose paper submissions should be monitored for one reason or another. After enabling, follow the link to configure the sub-option 'Enable import of IEEE Prohibited Authors List' if applicable.
  If the option has been enabled then for admins and users who have the privilege 'Manage the restricted authors list' there is an item Tools ⟶ Restricted authors list that provides access to the list (see 3.13 Restricted Authors List).
- **Enable HTML e-mail**.
  By default all emails that the system sends are in text format. If this option is set the emails are sent in html.
- **Do not copy attachments as symbolic links**.
  If a new version of a paper is submitted and the author wishes to copy an attachment to the previous version to the new version this is normally done by creating a symbolic link. If this option is enabled then a physical copy of the file is created.
- **Link to journal user area**.
  This option adds an item to the Main menu of all Editorial Staff users to access an external URL, for instance a password protected area of the journal website. After enabling the option follow the link to configure it.
- **Custom archive items.**
  By following the link Archive in the Submissions menu of any submission it is possible to create archive items for the submission (see 3.16.7 Advise). By enabling this option, predefined names may be selected for the items. After enabling the option, follow the link to configure the custom item names that you wish to be available.
- **Allow tagging**.
  If this option has been activated, submissions may be tagged in the Urgent Task List, the Submissions List and on the Details (Database entry) page (see 3.16.1 Database Entry).

2.3.2 Initial Submission

In this section a number of options related to initial manuscript submission may be configured.

- **Display the professional interests of the potential recipients of the submission** (also for Resubmission).
  If this option has been enabled then the page of the submission wizard where the corresponding author selects who receives the submission displays a list with the professional interests of the potential recipients.
- **Show a warning that submissions with an incomplete authors list will be returned without review** (also for Resubmission).
  Even if this option is enabled editorial staff will need to verify manually that the author list as included in the manuscript agrees with the authors list that was entered while the paper was submitted.
- **Allow downloading instructions for initial submission.**
  If this option is enabled and configured then authors who submit a new paper will be able to download instructions for the preparation of their submission from the first page of the Submission Wizard. After enabling this option follow the link to configure and upload the documents that are made available.
- **Require abstract.**
  If this option has been enabled then authors are required to enter an abstract of their paper while submitting it. After enabling this option follow the link to configure the abstract length. The default is 1200 characters.
- **Require keywords**.
  If this option is enabled then authors are required to supply keywords for their submissions. After enabling this option follow the link to configure the keywords option.
  To enter or edit the keyword list click on 'Edit the keyword list.'
  The keywords are entered into a textbox, one to a line, in the format
  `Key1 && Key2 && Keyword`
  `Key1` and `Key2` may be blank. The items in the `Key1` column are only displayed in the keyword list if a Top level label is entered and saved. The items in the `Key2` column are only displayed in the keyword list if a Secondary level label is entered and saved. These fields serve to organize the keywords in groups and sub-groups.
  The option requires that the parameters Minimal number of keywords, Maximal number of keywords and Maximal number of type-in keywords be specified. The predefined list may be turned on or off as desired.
- **Require information about previous presentation.**
  If this option has been enabled then authors are required to state if the contents of the paper were previously presented at a conference. After enabling this, follow the link to configure the instructions.
- **Require information about previous submission.**
  If this option has been enabled authors are required to provide information about any previous submissions of the material of the paper. After enabling this, follow the link to configure the instructions.
- **Display submission conditions**.
  If this option is enabled then authors are required to agree to certain conditions before they are able to upload the paper. After enabling this option, follow the link to configure the text.
- **Check for similar authors lists.**
  If this option has been enabled the system scans the database for other submissions by the authors of the paper when a new paper is submitted and a report is attached to the

email that notifies the recipient of the paper.

- **Do not hide the author's cover note from other users**.
  After an author has submitted a paper, the author's cover note is saved in the archive for the submission (see 3.16.4 Archive). By default this cover note is only visible to admins and the editorial staff member who received the submission. If this option is enabled all users who have access to the submission may see the cover note.

2.3.3 Resubmission

In this section a number of options related to manuscript resubmission may be configured.

- **Allow the abstract to be updated.**
  If enabled this option only applies if an abstract is required at initial submission.
- **Allow the keywords to be updated.**
  If enabled this option only applies if keywords are required at initial submission.
- **Require or allow the author to upload a response**.
  If this option has been enabled the author will be able or required, depending on the configuration, to upload an author's response together with the revised manuscript. After enabling this, follow the link to configure this option.
  For each type of submission it may be indicated if an author's response is optional or required, and one of three freely configurable labels may be assigned to the option.
- **Do not delete the handlers of the previous version** (unless a new submission ID is assigned).
  By default, upon resubmission the handlers of the previous version of the paper are de-assigned (so that the recipient or recipients of the resubmission are the only handlers).
  If this option is enabled then the previous handlers are retained.

2.3.4 Final Submission

In this section a number of options related to the final submission of the accepted paper may be configured.

- **Request meta data.**
  As part of the final submission the corresponding author is requested to provide additional information about the paper and its publication. Follow the link to configure this option.
  Note: If the Open Access option has been so configured that the author can still opt in or opt out during final submission then this is also part of the meta data collection process.
  Besides the Open Access option this page may be configured on a per type of submission basis to collect information in the following sections:

  ◊ Previous presentation
  ◊ Keywords
  ◊ Source material for the manuscript
  ◊ Figures
  ◊ Surcharges

  To see how the configuration of these sections works, focus on one of the types of submission, make sure that 'Disable' is unchecked for all sections and click on 'Preview.' This shows a preview of the page as seen by the author.
  In the header cell of each section an explanatory 'label' may be entered. By way of example, enter this text into the box for Label A1:

```
Provide information about any
conferences where the material of
the paper was presented. Use a free
text format if several conferences
were involved,
```

  select the label A1 for the section 'Previous presentation' of your sample type of submission, and click on the Submit button

to save the data. Follow the Preview link to see the result.
The other sections may be configured similarly. Here is a sample text for a label for the section 'Source material':

```
Only LaTeX or MS Word (or
compatible) are accepted. The use of
the Automatica LaTeX or Word
template is mandatory. Include a
brief biography of the authors
including photographs at the
end<BR><BR>
```

The sections 'Figures' and 'Surcharges' have sub-options for additional flexibility.

- **Other settings**.
  Follow the link to configure the following items on the file upload page for final submission, each on a per type of submission basis. Click on 'Preview' to display what the author will see.
  ◊ Label for Final Manuscript Upload. Example:

```
Upload a clean and complete copy
in pdf format of the final version
of your paper including all
figures and tables. The use of the
Automatica LaTeX or Word template
is mandatory. Do not include
authors' biographies or photos
```

  ◊ Label for Cover Note. Example:

```
Respond to the letter of the
Editor inviting you to submit the
final  version
```

  ◊ Request IEEE membership information. Enable this only for an IEEE journal. This cannot be previewed.
- **Require final approval from all handlers who have the privilege**.
  If this option has been enabled then if the final version of a submission is received all current handlers of the submission who have the core privilege 'Approve final version' are required to approve the final manuscript before it may be dispatched to the publisher.

2.3.5 Dispatch to Publishers

When the final version of an accepted paper is ready to be dispatched to the Publishers the system prepares an email message that may be sent to the Publishers at the click of a button (see 3.10 Dispatch to Publisher). This message contains all the information that the Publishers need to have as well as links to download the necessary files.
Follow the link for this option to configure the following items:

- *Exclude from Editorial guidance list*. The script automatically prepares a list of the users who handled the various versions of the paper under the title 'Editorial Guidance'. This option may be used to exclude handlers with designated roles from this list.
- *Publisher's journal code*. Publishers often have a code that identifies the journal. This may be entered here.
- *Recipient's e-mail address*. Mandatory field. Enter the email address or a comma separated list of email addresses to which the dispatch email should be sent.
- *Validity of dispatch link in days*. By default the download links in the dispatch email expire after 7 days. This may be changed here.

2.3.6 Assignment

Follow the link to configure this option if the cover message that is sent when a submission is assigned should be archived.

2.3.7 Reviewing

In this section the following reviewing related options may be configured:

- *Allow review requests for submissions with the status Received*. By default, review requests may only be sent for submissions that have the status 'Under review.' If this option has been enabled then review requests may also be sent if the status is 'Received.'
- *Attach the submission pdf file and any author's response to review requests*. After

enabling this, follow the link to configure how the user may control this. The default is 'Only if the option 'Attach the pdf file' is checked.'

- *Hide all author information from the reviewers.* This option serves to support double blind reviewing. Note that the system does not check if the manuscripts that are submitted for review are suitable for double blind reviewing.

2.3.8 Decision

This section serves to configure various options that affect the process by which a publication decision is reached.

- **Report page**.
  Follow the link to configure the Publication Recommendation and Report page.
  This page allows configuring on a per type of submission basis whether or not the Report should include a section 'Draft formal report for transmittal to the author.´ By default this section is mandatory.
  For each type of submission, select whether this item should be omitted or made optional, and which label should be used in the header cell of the item. A possible text is:

```
Motivate the publication
recommendation on the basis of the
reviews<br><br>
If revision is needed then clearly
indicate the changes that need to be
made
```

  In addition, configure which follow-up items need to be included. This is an example of a label for a follow-up item:

```
[Award recommendation]Type Theory,
Applications, Survey or None into
the box if you think that this
submission should be considered for
the Best Paper Award in this
category. Please motivate a positive
recommendation in the Confidential
Comments
```

  Select 'Text input' for this item. The bracketed text is not displayed as part of the label but used as a reference to the item elsewhere in the system.
  Make sure to save the complete configuration by clicking on the Submit button at the bottom of the page.
- **Decision page**.
  Follow the link to configure on a per type of submission basis whether the Decision page should include the Publication Recommendation and Formal report for transmittal to the author from the Report for the paper. By default both items are included and mandatory but they may be omitted or made optional. Labels and follow-up items may be configured similar to the Report options page.
- **Automatic attachments to decision letters.**
  This option allows attaching documents with instructions for the revision of the paper or preparation of the final manuscript automatically to decision letters.
  After enabling this option **f**ollow the link to configure it. To add a new attachment click on 'Create a new attachment.' To modify an existing attachment click on the file name. Enter a file name and description and select the decisions and types of submission where the file should be attached to the decision letter. Locate the file of the document to be used on your computer and click on the Submit button.
- **Hide the decision in the meta section of decision messages**.
  If a decision message is sent, the meta section of the message (the part that not may be edited by the user who sends the message) by default includes the publication decision. If this option is enabled then the decision is omitted.
- **Change the status of a submission to Decision pending when a draft decision is saved.**
  If a publication decision is saved as a draft without being executed and transmitted to the author, by default the status of the

submission is left unchanged. If this option is enabled the status is set to 'Decision pending' upon saving the draft decision.

2.3.9 Pdf Checking

If the option 'Check all pdf manuscript uploads' is enabled, various pdf files that are uploaded (manuscripts, author's response) are checked for compliance. Follow the link to configure the option.
It is recommended to make the requirements not overly strict because for most journals the final version of the manuscript is re-typeset before publication.

2.3.10 File Stamping

If the option 'Stamp all pdf manuscript files' is enabled then all manuscript files that are uploaded are stamped with the date and time and other information. Follow the link to configure the details. A suitable header is

```
CONFIDENTIAL. Limited circulation. For review only
```

A recommended footer is

```
Preprint submitted to %JOURNAL_NAME%
Received %TIME_STAMP% %TIME_ZONE%
```

When this option has been enabled also the pdf information fields are populated with suitable data.

2.3.11 Issue Management

On this page a number of defaults related to issue management may be configured.

- **Default volume label**.
  Each journal volume is identified by a volume number and a volume label. The default volume label may be selected as Year or custom. In the latter case a volume label will need to be entered for each volume when it is set up (see 2.2.5 Table of Contents.)
- **Default issue numbers**.
  Enter a comma separated list. Example:
  `1, 2, 3, 4, 5, 6`
  if each volume has 6 issues.
- **Default issue labels**.
  Enter a comma separated list with as many items as there are issues. Example:
  `January, March, May, July, September, November`
- **Default order of Sections in ToC**.
  When the Table of Contents of an issue is displayed it may be automatically organized in sections. To this end, on the Types of submissions configuration page (see 2.1.1 Types of Submission) assign a ToC section to each type of submission by selecting a section or using the field 'Enter a new section name' if no suitable section exists. Once you have the section names in place, return to the current options page. The box 'Default order of Sections in ToC' displays a semicolon separated list of the sections. Rearrange this list in the order in which you wish the sections to appear in the table of contents and click on the Submit button at the bottom of the page. Any section that you omit from the list is shown in parentheses at the end of the list.
- **Do not show the (scheduled) issue of publication to authors and reviewers.**
  By default, once a submission has been scheduled for publication its authors and reviewers may see this. If this option has been enabled they do not see this.

After setting these defaults for the Table of Contents it usually is necessary to configure one or several journal volumes. This is discussed in 2.2.5 Table of Contents.

.

3 User Manual

In this Chapter the many functions that are available to the users of the Papercept Journal Submissions and Review Management System are reviewed in some detail.

3.1 Introduction

This Chapter provides a brief manual of the system aimed at the journal editorial staff.

3.2 Access Page

After logging in you reach the Access page.

Use the link Update your personal information to review your personal information and update it if necessary.

On the Access Page you will find links to submit a new paper, to access your authors workspace (if you ever submitted a paper), or to access your reviewer workspace (if you were ever requested to prepare a review.)

If you have editorial duties then you will also find links to your workspaces, one for each editorial position.

3.3 Workspace

The Workspace page has four 'tabs':

- Welcome message
- Urgent task list
- Submissions
- Overview

By default the page opens with the Welcome message, unless under Preferences a different opening tab has been configured. Actually, after having seen the Welcome message it is strongly recommended that you set the default opening tab to Urgent task list. There are a few other options on the Preferences page that are discussed below (see 3.3.6 Preferences.)

3.3.1 Urgent Task List

The Urgent Task List lists the papers that currently require your attention in your capacity as editorial staff member.

This list only contains submissions that have one of these statuses:

- Submission incomplete
- Received
- Under review
- Decision pending
- Final MS received

You may see all the submissions in your scope by following the tab Submissions.

Depending on your editorial duties the system determines papers with which statuses (limited to the above list) should actually appear in your Urgent task list. You may change this selection under Preferences.

When editing your preferences, make sure that you enable the option 'Include the column Reviews of current version' only if you really need to see the reviews each time you log in. If this column is displayed the page loads significantly slower.

In the Urgent task list, in the column labeled 'Action', you will find one or more action links for each submission. These links point to pages where the appropriate actions (as determined by the system) for the submission may be performed.

The items in the Urgent task list are ordered according to the field 'Next decision due.' If an action is overdue then this field is highlighted.

In addition to the action link or link each submission has the submission number linked. This link points to the Database entry page (also referred to as Details page) of the submission. This page is the hub for all actions that involve the submission.

Click on the title of the submission to download the current version of the manuscript of the submission. To download earlier versions or other files use the link Files on the Details page for the submission (see 3.16.1 Database Entry)

Table 14. Actions for Urgent Task List

Link	Description	See
Remind author	Remind the author to transfer copyright	…
Check the restricted authors list	One of the authors is on the restricted list. Check the list	…
Assign	Assign the submission to a handler	…
Reviews	Solicit reviews. If all reviews are in or the deadline has expired prepare a publication recommendation or a publication decision	…
Decision	Prepare a publication decision	…
Approve	Approve the final version of the manuscript	…
Dispatch	Dispatch the final version to the publishers	…

3.3.2 Submissions List

The Submissions List shows all the submissions in your scope. By default only the submissions with status Submission incomplete, Received, Under review, Decision pending and Final MS received are shown because in principle only submissions with one of these statuses are under evaluation. Check the box 'Show all submissions regardless of status' to see all submissions, also those whose evaluation was completed.

The items in the Submissions list include the action links (if any), the link that points to the Details page and the link to download the manuscript.

The Submissions list provides tools to search and order the list as needed.

3.3.3 Action Links

Table 14 list the possible actions for the Urgent task list.

3.3.4 Fields on the Urgent Task List and Submission List Pages

Most of the fields for the entries in the Urgent task list and the Submissions list speak for themselves.

If a handler of a submission does not report to anyone and has at least one other user reporting to the handler then the handler is listed in the column 'Supervised by.'

If Tagging has been enabled for the journal (see 2.3.1, Allow tagging) then submissions may be tagged. In the Tags column, click on 'New tag' to set a new tag, or on an existing tag to view and update it. The tag is visible to other users who have access to the submission depending on how the scope of the tag is set.

3.3.5 Overview

The page Workspace ⟶ Overview shows an overview of the statuses of all the submissions in your scope that are under evaluation. The overview is arranged by supervisor and handler. For each status the number of

submissions that are being processed is shown together with the number that is overdue.

Click on a handler's name to access the Submission list of this handler (limited to the submissions in your scope).

3.3.6 Preferences

Follow the link Preferences in the Main Menu (see **Error! Reference source not found.**) to edit your preferences. Besides your options for your Workspace and Urgent task list the following links may be available, depending on your privileges:

- **Update your personal information**. Use this page to maintain your personal information including email address.
- **Personalized form letters**. On this page you may edit or create the form letters to which you have access. An asterisk * in the column Existence indicates whether or not a form letter exists.
  Click on a form letter name to edit or compose the form letter. If a system-wide form letter exists you may load and edit it; otherwise you may create your own form letter. When the system needs a form letter it first checks if a personalized form letter exists; if not it uses the system-wide form letter.
  In the category 'Decision' (if available) you may add as many form letters as you wish by clicking on the link Create a new decision letter. On the Decision page (see 3.7 Publication Decision) you may then select the desired form letter.
- **Professional interests**. If available, this page serves to enter an interest list. This interest list is made available to the Editorial staff as an aid in assigning submissions. If no interests are shown here your keywords from the people database are used.

3.4 Assigning Submissions

You may assign a submission to another handler if you have the Assign privilege (see 2.1.2 Roles) and the submission has an appropriate status (Received, Submission incomplete or Under review.) Follow the 'Assign' in your Urgent task list, or on the Database entry (Details) page of the submission.

This is when and how the Assign function is normally used (see 1.6 Typical Role Assignments for the sample Journals A, B and C):

- In the case of Journal A the Editor handles all submissions personally. They do not need to be assigned; indeed there is no one to assign them to.
- Journal B has an Editor-in-Chief who receives all the papers and assigns them to one of the Area Editors for evaluation.
- Journal C has an Editor-in-Chief but papers are submitted to a number of Area Editors. Each Area Editor works with a several Associate Editors who send the papers out for review and evaluate them. In this case the Area Editor assigns each submission to an Associate Editor.

In the section 'Assign the Submission' of the Assign page select the correct assignee. There may be a number of options depending on the status and history of the submission, your privileges and the journal settings. For 'Next decision due' you may normally choose the date that is proposed by the system.

The normal workflow is that if the submission has status Received this is changed to Under review as soon as the submission has been assigned but you may opt not to do this.

In the section 'Cover Note for E-mail Message' normally the appropriate form letter for the email notification to the recipient of the

submission is automatically loaded. Check the text carefully and edit it as necessary. See 2.1.4 Form Letters on how to prepare or modify form letters and 3.3.6 Preferences on personalized form letters.

After verifying and possibly changing the options for the email message click on the 'Submit' button at the bottom of the page to execute the assignment and send the email message.

Note that after assigning the submission you still are a handler of the submission.

Note. In the normal workflow of the journal the Assign link is available for a submission if and when it is needed. If the Assign page is not accessible it is possible to modify the handlers of a submission on the Update the Database Information page of the submission (see 3.16.1 Database Entry), but only by users who have the 'Update a submission record' privilege.

3.5 Collecting Reviews

All users who have access to a submission also have read-only access to the reviews of the submission. Only users who have the 'Solicit reviews' privilege for the submission are able to solicit and otherwise manage the reviews.

Follow the link Reviews in the Urgent task list or on the Database entry (Details) page of the submission.

The page shows a list of all reviews that were solicited for the current and all previous versions of the submission. To see the details of a review click on More…

3.5.1 Compile a Reviewers List

Before soliciting a review you need to make sure that you have a reviewers list in place from which you select your reviewers.

To this end, follow the link 'Reviewers' in your main menu,

To add a new reviewer to your list, click on 'Add reviewers.' On the Add Pins to Reviewers List page you may search the PINs database by various entries, such as Surname or Keyword. In the list of search results check the box for the individuals that you wish to add to your reviewers list and click on the button 'Add to list' at the bottom of the page.

If you do not find a specific individual in the PINs database, click on the link 'Add' on the Add Pins to Reviewers List page and create a new PIN. After completion add the new PIN owner to your Reviewers list.

On the Reviewers List page, click on a reviewer's name to edit the Notes fields (these notes are private to yourself) or to remove the reviewer from your list. If the contact information of the reviewer needs to be updated, such as the reviewer's email address, then follow the link 'Update the reviewer's personal information directly', or follow the link PINs in the main menu (see 3.18.1 Main Menu)

If a reviewer's name is grayed out then the reviewer's PIN has been deactivated and the reviewer cannot be approached for reviews.

If a reviewer's name is marked with an asterisk (*) then the reviewer's name was modified in the PINs database after the reviewer was added to the reviewers list. Click on the reviewer's name to update the reviewers list.

The Reviewers page has options to view the current workload or past performance of each reviewer in the list. See the Legend and Settings popup box for more information. A reviewer's performance record consists of a list of IDs of submissions that the reviewer was asked to review, color coded according to the status of the request. For privacy the submission IDs of submissions that are not in

your scope are partially masked. For instance, 10-09**.1 is version 1 of a submission with ID in the range 10-0900 to 10-0999.

3.5.2 Soliciting Reviews

Reviews may only be solicited if the status of the submission is Under review. On the Reviews page for the submission, click on the link 'Request a review or re-review.'

This displays your reviewers list at the bottom of the page, and opens the Request list panel.

Reviewers in the list whose PIN has been deactivated, who are co-author of the submission, or who were already approached as reviewer for the current version are grayed out.

Click on the link 'Show' to see a reviewer's workload. For information about the reviewer's performance please consult the Reviewers page (see 3.5.1 Compile a Reviewers List.)

Submission keywords that are identified in the reviewers' keyword lists are highlighted.

Check the box for a reviewer to add the reviewer to the Request list.

Click on Next as soon as the Request list is complete.

On the request a review page you may verify or adjust a few details, such as the review deadline and whether or not the manuscript of the submission is to be attached to the request email.

The page automatically loads the default form letter for the review request. Check the text carefully and edit it as necessary. See 3.3.6 Preferences on how to prepare or modify your form letters.

Click on the Send button near the bottom of the page to dispatch the request emails.

3.5.3 Request Confirmations, Send Reminders and Send Thank You Notes

When reviewers receive an invitation to review a submission they are asked to confirm whether or not they accept the invitation. The invitation message has a quick link for this purpose. If authors do not respond to this you may send them a request to confirm if they accept or decline the invitation. To this end follow the link 'Reminders and thanks' on your Workspace page, or the link 'Request Confirmations' on the Reviews page of a submission. In the latter case you have the option to send the requests for the reviews for the submission only or for all submissions in your scope. Verify the options, check and edit the cover message as needed and click on the Send button to dispatch the requests.

The link 'Reminders and thanks' on your Workspace page and the link 'Send Reminders' on the Reviews page is available to send reminders to reviewers who are slow in submitting their review.

Finally you may use the link 'Reminders and thanks' on your Workspace page or the link 'Send Thank You Notes' on the Review page to send thank you notes to reviewers who either confirmed their willingness to review a submission, or submitted a review. Note that such thank you notes are in addition to the automatic acknowledgement emails that the system sends when a review is confirmed or submitted.

3.5.4 Accessing and Handling Reviews

To see the details of a review or other review related actions follow the link More… for the review to access the Review details page. This page lists various details about the review

including the review contents if a review has been received.

If the user who access the page has the privilege 'Solicit reviews' then the Review details page has two menus, 'Update the review' and 'Communicate with the reviewer.'

The menu 'Update the review' has the items 'Register the review as confirmed,' 'Cancel or uncancel the review request,' 'Enter or update the review' and 'Edit the review data.'

The option 'Enter or update the review' provides access to the review form and may be used to make changes to the review or enter the review on behalf of the reviewer. The option 'Edit the review data' has advanced possibilities to edit the data and contents of the review. This page should be used with caution because it is easy to make changes that affect the integrity of the database.

The menu Communicate with the reviewer' has the options 'Contact the reviewer,' 'Request confirmation,' 'Send thank you note for confirmation,' 'Send reminder,' 'Send thank you note for submission' and 'Send review cancellation notice.'

3.6 Publication Recommendation and Report

In the usual workflow, after a sufficient number of reviews have been obtained or the evaluation deadline is approaching it is time to evaluate the submission. This may be done by preparing and submitting a Publication Recommendation. This may or may not include a Report.

If it is part of your duties to prepare and submit such a Publication Recommendation and Report then there is a link 'Report' on the Reviews page. This link may also be found on the Database entry (Details) page of the submission (see 3.16.1 Database Entry.)

A Publication Recommendation may only be prepared if the status of the submission is Received or, normally, Under review.

On the Publication Recommendation page you may enter a publication recommendation together with confidential comments to the editorial staff. If the journal requires a formal report then this may also be entered on this page.

Optionally you may save the recommendation by using the link for this purpose. Note that a saved recommendation has not been submitted. Do not omit to return to the publication recommendation page to finalize and submit the report after saving it.

When the Publication Recommendation is submitted the status of the submission changes to 'Decision pending.' Also, all review requests that are still outstanding are canceled. When you submit the Publication Recommendation you will be asked if you wish to send notifications to the reviewers whose requests were canceled.

After Publication Recommendation has been submitted, the Publication Recommendation page is no longer accessible but you may see the Publication Recommendation in the archive for the submission. To this end, follow the link Archive in the Submissions menu of the submission.

3.7 Publication Decision

A publication decision may be prepared if the status of a submission is Received, Under review or, normally, Decision pending.

If a submission has the status Decision pending and you have the Publication Decision privilege then you will find the submission in your Urgent Task List with the action link

'Decision'. This link may also be found in the Submissions Menu on the Database Entry (Details) page or the Reviews page.

The 'Decision' link takes you to the Publication Decision page.

3.7.1 Preparation of the Publication Decision

The Publication Decision page first summarizes the recommendations of the reviews that were obtained and also shows the Publication Recommendation for the submission, if available.

In the Decision section there is a field for the formal report to be transmitted to the author (if supported by the journal) and a field to select the publication decision. Select a form letter from the list and click on the link 'Load' to load it into the Cover message box. Review and edit the decision message carefully. You may preview the message as it will be sent to the authors, and also the message that will be sent to the reviewers of the submission.

Near the bottom of the page, in the section Save the decision as a draft, you have an option to save the Publication Decision as a draft. Any saved draft decision may be found in the Archive for the submission.

For the option 'Save as draft Nr 1 and send an e-mail notification to these handlers of the submission' see 3.7.2 Publication Decision Discussion Thread below.

See 3.7.3 below on how to execute the publication decision and send author notifications

3.7.2 Publication Decision Discussion Thread

In the section Save the decision as a draft on the Publication Decision page you may opt to send copies of the draft to other handlers of the submissions. If these handlers have access to the Publication Decision page they may open and modify the draft and save it as the next draft version.

This way optionally the Publication Decision may be developed in a discussion between the various handlers. In this discussion the field 'Confidential note for Editorial staff use only' is available for the exchange of information. Each time the Publication Decision page is opened the current draft is displayed together with a summary of the previous drafts.

All drafts are kept in the Archive for the submission.

The discussion may be finalized by any participant in the discussion who has the Author notification privilege as follows:

- Check the box 'Enable the draft decision to be executed and author notifications to be sent' at the bottom of the page.
- In the section 'Save the decision as a draft', use one of the options to save the decision as a draft or to overwrite a draft, with or without sending messages to other handlers.

This saves the draft as an approved draft. Saving the decision as an approved draft freezes the draft decision so that it can no longer be edited (unless the approval is revoked.)

Approved draft decisions may be dispatched by users who have the Author notification privilege (see 3.7.3 below.)

The user who approved a draft decision has an option to revoke the approval.

3.7.3 Execute the Publication Decision and Send Author Notifications

You will only be able to execute the publication decision and notify the authors if you have the Author notification privilege. In this case, check the box 'Enable the draft decision to be executed and author notifications to be sent' at the bottom of the page. Review the various options and click on the Submit button to execute the decision and send the various email notifications.

If there still are outstanding reviews that were not previously canceled these are automatically canceled when the decision is executed.

After the decision has been executed, the status of the submission changes to the decision status that corresponds to the decision (see 1.3 Paper Flow and Submission Status.) Each decision status has an associated expected action for the corresponding author (if any) and possibly a deadline.

A copy of the decision is kept in the Archive of the submission.

3.8 Approve the Final Version of a Submission

When the author of a submission that has been accepted for publication submits the final version, all handlers of the submission who have the privilege 'Approve final version' receive an email request to approve the final version. These handlers find the submission in their Urgent Task List with the action link 'Approve.' This link may also be found in the Submission Menu on the Database Entry page of the submission.

The Approve the Final Version page has a button to confirm approval. If you have doubts about approving the final version then use the link 'Contact' on the page to communicate with other members of the Editorial staff about this submission.

After approval of the final version the status of the submission remains 'Final version received.'

3.9 Schedule a Submission

Submissions may be scheduled for publication by any user who has the 'Schedule submissions privilege.' Submissions may be (tentatively) scheduled for an issue regardless of their status, but normally this is only done when the final version of the paper has been received.

To schedule a submission follow the link 'Schedule' in the Submissions Menu for the submission on the Database Entry (Details) page of the submission. Alternatively, follow the link 'Scheduled issue of publication' on the Dispatch to Publisher page (see 3.10 Dispatch to Publisher.)

On the Schedule page, first enter and save the Estimated size of the submission whenever possible. This will help in planning the page budget of the issue where the submission is scheduled.

The bottom of the page has a list of recent and forthcoming issues. The issues that are past the Latest date at Publisher have a pale green background. Only those issues that are before the Press Date have a link 'Schedule.'

Click on the link 'Schedule' for the issue in which the submission is to be scheduled. For just in time planning this will normally be the first or second link in the first column.

If you do not find a Schedule link then you may need to extend the planning window by adding another volume (see 2.2.5 Table of Contents.)

If you wish to schedule the submission for an issue that is outside the planning window, use the link Advanced schedule just below the Submissions Menu.

After the submission has been scheduled the table of contents of the scheduled issue opens. The submission is automatically added to the correct section (provided that sections have been configured – see 2.3.11 Issue Management, Default order of Sections in ToC.)

See 3.11 Manage the Table of Contents on how to move items around in the Table of Contents or to delete them, and other advanced editing function.

3.10 Dispatch to Publisher

Users who have the privilege 'Dispatch to Publisher' will find submissions in their scope with the status 'Final version received' in their Urgent Task List with the action link 'Dispatch.' This link may also be found on the Submissions Menu on the Database Entry (Details) page (see 3.16.1 Database Entry.)

The dispatch function is implemented as follows: The system sends an email message to the publishers. This message contains summary information about the submission including a link to the journal submission system (subject to expiry). This links opens a page, referred to as Collection page, which has all the information required by the publisher, as well as links to download all the files need by the publisher.

Near the top of the Dispatch page some information about the submission is displayed.

Next there is a checklist that may include all or some of the following items:

- Copyright transferred
- Final version approved
- Title and author list
- Meta data
- Scheduled issue of publication

Follow any links to verify, edit and approve the information. The title, author list and meta data are obtained from data supplied by the author at final submission. See 3.9 Schedule a Submission for more information on scheduling a submission.

In the section 'Files to be transmitted' check the files that should be transmitted to the Publishers.

In the section 'First page footnote information' information is collected that is often found in a footnote on the title page of a published article. This material may need to be edited depending on the style of the journal.

- Dates received. These dates are collected from the Log.
- Editorial guidance. In this item all handlers are listed who were involved in the evaluation of the submission.
- Previous presentation. This information is taken from the meta data supplied by the author at final submission.

Finally there are fields for the estimated length of the article and comments to the Publisher's editorial staff.

Near the bottom of the page there is a choice of various actions:

- Save the data but do not dispatch the submission
- Delete the saved dispatch data
- Preview the Publisher's collection page in a new window or tab. The preview is based on the saved dispatch data. Do not forget to save any changes before displaying the preview
- Preview the dispatch message

- Save the data and dispatch the submission to the Publishers. The preconfigured email address may be edited if desired.

After the submission has been dispatched to the Publishers its status changes to 'Forwarded to publisher' and the submission disappears from your Urgent Task List. It may be accessed in the Submissions List, however (see 3.3.2 Submissions List.) If necessary it may be re-dispatched by following the Dispatch link in the Submissions menu.

The data that were dispatched are saved in an Archive item for the submission entitled 'Final submission data.' It is not recommended to edit this archive item.

3.11 Manage the Table of Contents

Users who have the privilege 'Manage the ToCs' have the link ToCs in their main menu. This provides access to the Manage the Tables of Contents page.

From time to time it is necessary to add a new volume to the Table of Contents and to configure this volume (see 2.2 Advanced Configuration, in particular 2.2.5 Table of Contents.)

To see the list of issues for a volume, click on the link 'Issues' for this volume. Click on the Issue link to open the table of Contents of the issue.

Section 3.9 Schedule a Submission explains how to schedule a submission in a certain issue.

We review various operations on the Table of Contents that are supported by the system.

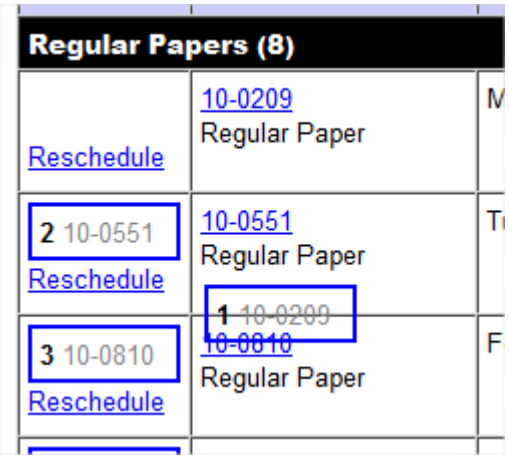
3.11.1 Enter or Update the Estimated Size of an Item

To enter or update the estimated size click on the link in the column 'Estimated Size.' Enter the size (in pages) as an integer or decimal fraction and click on the Save button.

3.11.2 Move an Item Within the Section or Issue

Click on the box in the first column of the entry for the item, hold down and drag the box to a new row or make it straddle two rows (Figure 16). Double click to insert the item at the new position.

Figure 16. Move an item to a new position



3.11.3 Move an Item to a Different Issue

Click on the link 'Reschedule' for the item. The page reopens to the list of recent and forthcoming issues. Click on the link 'Schedule' of the issue where you wish to move the item.

If you wish to move the item to an issue that is outside the planning window, use the link Advanced schedule just below the Submissions Menu.

After moving the item you may need to fine tune the arrangement of the issue where the item was moved.

3.11.4 Edit the Author List, Title and Page Numbers of Some or All Items

On the Table of Contents page of an issue, click on the link 'Edit' to open the Table of Contents in an edit window. For each item, the author list, title, first page number and last page number may be edited. Click on the Save button at the bottom of the page to save the changes.

Note that any changes to the author list and title are only made in the Table of Contents, and are not carried over to the main record for the submission in the database.

The main use of this page is to achieve 1:1 correspondence with the table of contents of the printed issue.

3.11.5 Delete an Item and Advanced Editing

To delete an item, click on the link 'Edit' on the Table of Contents page of an issue to open the Table of Contents in an edit window. In the edit window, click on the link 'Advanced' for the item that you wish to delete. Use the 'Delete' link to remove the submission from the Table of Contents.

The 'Update ToC Item' pop-up box may be used to modify several of the properties of the item. Use this function with caution

On the Edit the Table of Contents page the link 'Add' is available to add a new item to the table of contents.

If some items in the Table of Contents are in the wrong section, use the link 'Arrange by section' to correct this.

3.11.6 Export the Table of Contents

The Table of Contents page supports the export of the ToC in the formats html, txt and csv (for import into a spreadsheet application). Click on the link 'Export', select the desired options and press on the Export button.

3.12 Accessing the PINs Database

All users may access the PINs database by following the link PINs in the Main Menu, but they do not all have the same privileges. The PINs page opens in a new window.

All users are able to search the PINs database. Select a search field, enter a search string and click on the Search button. In the results list, click on the individual's surname to see the details of the PIN record.

If a user has the privilege Manage PINs (core fields only) then the Details panel has an Update option that allows modifying the fields Surname, Given name, Affiliation, Country and Email address. Such users also have a link 'Add' on the PINs page enabling them to create a new PIN by defining these fields.

Users who have the privilege Manage PINs (all fields) may manipulate all fields (except the password and the Active field).

Warning: Avoid creating duplicate PINS because this provides the individual with multiple identities which may cause considerable inconvenience. If a person already has a PIN but the data are not accurate update the information as best as you can and use the existing PIN.

If the user has the privilege View the User activities then the Details panel has a link Activities. Click on this for an overview of the individual's activities within the system.

Only Administrators or the PIN owner may delete a PIN but the system only allows this if the PIN is not in use, that is, the PIN owner has no activities in any of the conferences or journals (including past conferences) served by the portal. This is in order to preserve the integrity of the server database.

Any PIN owner, or an Administrator, may de-activate the PIN. If a PIN has been deactivated the PIN owner may still use the PIN to log in to complete any activities associated with the PIN, but the PIN can no longer be used for new submissions, review requests or other journal or conference duties. This may be used if a user inadvertently acquired multiple PINs.

3.13 Restricted Authors List

Optionally the journal may maintain a list of restricted authors. If the feature has been enabled there is an item 'Restricted authors list' in the Tools menu of those users who have access to the feature.

See 2.2.6 Restricted Authors List for

- configuring this feature,
- importing the latest version of the IEEE Prohibited Authors list (if supported),
- editing entries in the list, and
- adding entries to the list

Individuals may also be added to the list by following the link Restricted authors list in the Submissions menu (see 3.16.12 Check Restricted Authors List).

If the author of a newly submitted submission is detected to be on the Restricted authors list (by name, e-mail address or PIN) then the system flags the submission as On Hold. If a submission is On hold it cannot be assigned for further processing or for review. Final submissions that are flagged as On Hold cannot be approved or dispatched to the publishers.

Users who have access to the Restricted authors list will find submissions that are On hold in their Urgent Task List with the action link 'Check the restricted authors list.' Follow this link to deal with this submission. If this is a false alarm the On hold flag may be disabled.

3.14 Transfer Workload

The item Transfer Workload is available in the Tools menu to users who have the 'Transfer workloads' privilege.

This page may be used to reassign editorial workloads, for instance from outgoing editorial staff to incoming editorial staff. Normally only submissions that are actively in process or may become active again need to be transferred. Submissions that have already been published or have been firmly rejected usually need not be transferred.

First select the User whose workload is to be transferred. After reloading the page shows a summary of the submissions that may be transferred.

After checking the statuses and the types of the submissions that need to be transferred optionally click on 'Show the submissions' to see the list of submissions that are about to be transferred. Optionally, uncheck the submissions that should not be transferred.

After selecting the user to whom the submissions are to be transferred, click on the Transfer button near the bottom of the page.

All transfers are logged.

3.15 Database Reports

The system supports a number of database reports that are discussed in the next sections.

3.15.1 Assignments Overview

The assignments overview may be reached by following Tools → Reports → Assignments

overview. It is accessible to all users but the information that is shown depends on the privileges of the user.

The overview is a snapshot, that is, it is based on the current handler assignments.

The overview opens with a row that concerns all submissions in the system. For each year it lists two blocks of data, first the counts of submissions for the year broken down by type of submission and next the counts broken down by current status.

The remaining rows of the overview provide this information for the various handlers included in the overview.

The page has various options to restrict or expand the information that is shown.

3.15.2 Paper Flow by Handler

The Paper Flow by Handler overview may be reached by following Tools → Reports → Paper Flow by Handler. It is accessible to all users but the information that is shown depends on the privileges of the user.

The first row of the overview concerns all submissions in the system. For each year it lists for each type of submission the number of submissions of this type that were first received in this year.

The remaining rows of the overview display this same information for each handler included in the overview.

Again the page has some options to control the information that is shown.

3.15.3 Turnaround

The Turnaround report may be accessed by all users but the information that is shown depends on the user's privileges. It may be reached by following Tools → Reports → Turnaround.

The first plot concerns all papers currently in the system. It shows bar plots by month for the evaluation time and the processing time of the submissions for which evaluation or processing were completed, and for the submissions still under evaluation.

- The evaluation time of a version begins when its status changes to Under review and ends when its status changes to Decision pending or when a publication decision is taken on the paper (whichever comes first).
- The processing time of a version begins when the version is received and ends when a publication decision is taken, or the version is disposed of in some other way. Final submissions are not counted, only new submissions and resubmissions.
- The Under evaluation counts only include those submissions whose status is Under review. The under review time begins when the status changes to Under review.

The remaining plots on the page provide the same information for submissions handled by the various handlers included in the overview.

Like the other reports the page has options to control the information that is shown.

3.15.4 Decisions

The Decisions report may be accessed by all users but the information that is shown depends on the user's privileges. The report may be reached by following Tools → Reports → Decisions. It may take a moment until the page loads.

By default the report shows the user's own decisions.

Each column lists the publication decisions that were taken in the year indicated in the column header.

The sub-column “All” lists decisions taken on all papers during the year, both as an absolute number and as a percentage.

The sub-column “Handlers’ share” lists the decisions on papers where the user was involved as a handler.

To see the decisions of another handler, select this handler as Handler 1, keeping Handler 2 as <Anyone>. Which handlers may be selected depends on the user’s privileges.

If a user is selected for Handler 2 then the column “Handlers’ share” lists the decisions in which both handlers were involved. This may be useful for instance when an Editor works with various Associate Editors.

If the option ‘Show statistics of first decisions’ is selected then only the first decision that was taken on a submission is counted; decisions on later versions of the paper are ignored.

3.15.5 Timeliness

The Timeliness report may be accessed by any user. It is reached by following Tools → Reports → Timeliness.

The report requires some configuration before it may be correctly used. This may be done by admins and users who have the privilege ‘Configure the Timeliness report’ (see 2.2.8 Timeliness Report.)

The Timeliness Report is compiled according to the format required by the IEEE for their journals’ annual report.

There are two options for the report, ‘Types of submission to be included’ and ‘Years to be included.’ These options may be selected and saved by each user individually.

3.15.6 Reviewers List

The Reviewers list report may be accessed by any user. It is reached by following Tools → Reports → Reviewers list.

The report lists the reviewers who submitted a review in a selected period. The list only includes reviewers of submissions that are in the scope of the user who accesses the page. If the list is large it will take a while until it appears.

By default the list shows reviews from all individuals who requested it, ordered by requester. To limit the list to a single requester select the requester from the dropdown menu for this purpose.

Click on any column header in blue to sort the rows by this column. Click again to reverse the sort order.

Click on a reviewer's name to open a popup box with reviewer details. Several boxes may be open at the same time. Click on a submission number to go to the Database entry (Details) page for the submission.

The list may be downloaded in csv format for import into a spreadsheet application by using the link for this purpose.

If the box ‘Show distinct reviewers names only’ is checked then the reviewers are listed alphabetically without any additional information. In this case there is a link to download the list in plain text format.

3.15.7 Digest

The Digest page may be accessed by any user. It is reached by following Tools → Reports → Digest. The information that is included in the Digest is limited to the submissions that are in the scope of the user who accesses the page.

The Digest page allows querying the database for various properties and attributes of a group of submissions.

First, select the items that you wish to query for each submission from the left column by clicking on them. See below for the use of the checkboxes.

Next, in the second column configure the submissions that are to be included. This may be done by specifying ranges on certain items (for instance, Submission Id: Start and End), or providing lists for other items. As an example of the latter, click on ‘Status’ and select the statuses to which the submissions should be limited.

Click on the Submit link at the bottom of the page to start the compilation. Upon completion the digest may be previewed or downloaded in Excel 1997-2003 format.

To change the order of the fields, move each field to the desired position by first clicking on its row number. Next click on the number of the target row.

Check the box in the Sort column to sort the Digest by a field. If several fields are checked a multiple sort is performed in the order in which the marked fields are listed.

3.15.8 Geographical Distribution

The Geographical distribution report may be accessed by any user. It is reached by following Tools → Reports → Geographical distribution.

By default the page opens to the current year. Check the years that you wish to include and click on Select to change the selection. The year refers to the year in which the submission was first received.

The category "Submitted" includes all submissions that were first received during the year. This includes resubmissions that received a new submission ID.

The category "Published" includes besides submissions that already were published also submissions that are scheduled for publication. Again, the year refers to the year the submission was first received, not to when it was published.

If a submission has several authors then under the heading "All authors" each author's country is counted. Thus, if a paper has two authors from Brazil and one from Canada then Brazil receives two counts and Canada one. If the corresponding author is from Brazil then under the heading "Corresponding author" this paper receives one count for Brazil only.

Click on a column header to sort by this column. Click again to reverse the sort order.

Use the button ‘by Region’ to display bar plots by Region. Nine regions are distinguished: Africa, Asia, Australia and Oceania, Eastern Europe, Middle America, Middle East and North Africa, South America, United States and Canada, Western Europe. Click on any item in the Regions legend to see the list of countries for the region.

3.16 Submission Related Functions

Submission related functions may be reached from the Submissions menu (see 3.18.3 Submissions Menu.) Several of these functions, in particular Assign, Reviews, Report, Decision, Schedule, and Dispatch may also be reached from the Urgent Task List if warranted. For these functions see the sections

- 3.4 Assigning Submissions
- 3.5 Collecting Reviews
- 3.6 Publication Recommendation and Report
- 3.7 Publication Decision

3.9 Schedule a Submission
3.10 Dispatch to Publisher

We discuss various other functions in the subsections that follow.

3.16.1 Database Entry

The Database entry (Details) page is reached by following the item Details in the Submissions Menu (see see 3.18.3 Submissions Menu) or suitable links for this purpose in other places.

The Database entry page lists a large number of details about the submission. The tags for the submission may be managed from this page (if supported; see 3.3.4, Tagging) and submission related functions may be accessed through the Submissions Menu.

Follow the link Update in the local menu on this page, if available, to the Update the Database Information page. Only users with the privilege 'Update a submission record' may access this page. This page allows most of the details listed on the Database entry page to be edited.

Warning: Use the Update the Database Information page with caution. It is easy to make changes on this page that result in inconsistencies in the database. Changing a field (such as the Status) does not automatically update related fields (such as Date of latest decision and Next decision due). This page is for expert use only, typically for non-routine interventions.

3.16.2 Files

The Files page is reached by following the item Files in the Submissions Menu (see see 3.18.3 Submissions Menu).

The page lists the various manuscript and other files that have been uploaded for the submission. Each file has a download link.

Users who have the privilege 'Manage the files for a submission' also have links to reupload or to delete each file. In addition they have a link Upload a new file. When a file is uploaded on the Files page the user has options for not checking the page and character counts, skipping the pdf test and not stamping the file.

The link Pdf Test opens the Pdf Test page in a new window in order to test files before uploading (see 3.17.1 Pdf Test.)

3.16.3 Log

The Log of a submission is reached by following the item Log in the Submissions Menu (see see 3.18.3 Submissions Menu).

The log lists submission related events in reverse chronological order. For pertinent items the log also shows the changes that were made to the corresponding database field.

3.16.4 Archive

The Archive of a submission is reached by following the item Archive in the Submissions Menu (see 3.18.3 Submissions Menu.)

The Archive is used to store important items that are generated in the course of the evaluation of a submission. This includes author's cover notes, publication recommendations, publication decisions and copies of critical email messages.

The page shows a list of available archive items. Click on the title of the item to open the item.

Only the user who created the item may edit or delete it. Both should be done only exceptionally and with caution. Making changes to archive items may affect the integrity of the database. Moreover, the edit function is very basic, which increases the

chance or affecting the integrity of the database.

Use the link Add new archive item to create a new archive item. This may be useful for instance for preserving certain critical email messages that were exchanged outsize the system.

When creating or editing an archive item the field 'Access restricted to' may be used to limit access to the item to a single PIN owner only. Note that when this field is completed no one except this PIN owner has access to the item, not even the user who created the item.

Users who have the privilege 'Full control of all archive items' have access to all archive items even if their access is restricted, and may edit and delete every item even if they did not create the item. Administrators have this privilege by default.

3.16.5 Transfer

The item Transfer is available in the Submissions Menu if the user has the privilege 'Transfer a submission' and the status of the submission is 'Received,' 'Submission incomplete' or 'Under review.'

The function may be used to transfer the submission to another handler, depending on the scope of the privilege. It uses the form letter 'Transfer a submission.' After completion the current user no longer is a handler and may not be able to access the submission any more.

3.16.6 Share

The item Share is available in the Submissions Menu if the user has the privilege 'Share a submission.' It uses the form letter 'Share a submission.'

The function is used to make another user handler of the submission, depending on the scope of the privilege. After completion the current user remains a handler.

3.16.7 Advise

The Advise page is reached by following the item Advise in the Submissions Menu (see see 3.18.3 Submissions Menu). It is only available to users who have the privilege 'Advise the authors.'

This page has several options that may or may not be present, depending on the status of the submission and the user's privileges.

- **Send an e-mail message to the authors**.
  This link is always available.
  By default the message is addressed to the corresponding author and copied to all coauthors. An existing form letter may be used or the message may be freely composed. The message may or may not be archived.

- **Remind the author to complete the submission**. This option is available if the status of the submission is Submission incomplete.
  A submission receives the status Submission incomplete if copyright transfer is required at submission or resubmission but has not yet been completed.
  Follow the link to send a reminder. The form letter for this purpose is automatically loaded if available.

- **Send a delay message**. This option is only available if the status of the submission is Under review.
  Follow the link to send a reminder. The form letter for this purpose is automatically loaded if available.

- **Send an interim or ad hoc decision on the submission to the authors**. This option is available (independent of the status of the

submission) provided that the user who accesses the page has the Publication decision privilege and the Author notification privilege.
This page should be used if a publication decision needs to be taken on a submission outside the normal workflow, e.g. if the status is not Under review or Decision pending. This page may be used for instance when upon receipt a submission is to be returned without evaluation because it is found unsatisfactory for one reason or another.
The page is not unlike the Decision page but it has more options and fewer built in checks. Some circumspection is needed when using this page.

- **Request the author to resubmit the final version**. This option is available if the status of the submission is Final version received and the user has the Dispatch to publisher privilege.
This function may be used when the final version of a submission has certain deficiencies and needs the author's attention.
The default form letter (if available) is automatically loaded.
When the request to resubmit the final version is sent, the status and type of submission of the submission are reset to the status and type of submission of the submission just before the status changed to Final version received.
All files for the current version and the final submission author and meta data (unless unchecked below) are copied over so that they are available to the corresponding author when resubmitting the final version.

3.16.8 Contact

The item Contacts in the Submissions Menu serves to send an email message to other editorial staff about the submission. Click on any name in the list of handlers to add the name to the recipients.

To enter addresses into the To or CC box, enter one or several characters a-z, A-Z, 0-9, @ into the box to search for a recipient. Select a recipient from the list, add a comma after the e-mail address, and repeat the process.

Optionally a form letter may be loaded for the message text.

After selecting the archive and copy options click on the Send button to dispatch the message.

3.16.9 Protest

The Protest item is available in the Submissions Menu if the user has the 'Manage protests' privilege.

The Protest management function is very basic. The Protest page allows to flag or unflag a submission as a Protest paper.

Related settings (such as Date of latest decision, Resubmission deadline and Next decision due) may be adjusted manually on the Update page (reached from the Database entry page for the paper – see 3.16.1 Database Entry.)

It is recommended to execute an Ad Hoc or Interim Decision on the Advise page (see 3.16.7 Advise) rather than adjusting the settings manually.

3.16.10 iThenticate Scans

The item 'iThenticate scans' is available in the Submissions Menu if plagiarism scanning has been enabled and the user has the privilege 'View iThenticate score and report.'

The page lists the manuscript files that are available for the submission and the results of the iThenticate scan, if any. The iThenticate report may be accessed using the link for this purpose. Note that the report opens in a new tab or window; you may need to allow pop-ups on your browser.

If the user has the privilege 'Queue manuscripts for iThenticate scan and view the results' then links are available to queue or re-queue manuscripts for scanning.

If the user has the privilege 'Edit iThenticate scan items' then the user may create and edit a Note for each scanned file. Users with this privilege may also set and unset the items 'Allow all editorial staff who have access to this submission to view the iThenticate scan results' and 'Allow/Do not allow the authors of the submission to view the scan results after having received a publication decision.'

3.16.11 Similar Submissions

The item 'Similar submissions' is available in the Submissions Menu if the user has the privilege 'Check for similar submissions.'

The page allows determining various similarity scores for the submission. The 'S-score' or similarity score is a measure for the similarity of a word string to a reference word string. This similarity is computed on the basis of the words (reduced to their stems) that are common to the two strings after removing everyday words. The score ranges from 0 to 1. For more details see the description of the module Search::Vectorspace on http://www.cpan.org.

After the checkbox near the bottom of the page has been activated the system computes the following:

- The similarity of the author list of the reference submission to the author list of all other submissions in the database. The page shows all the submissions whose author list has a nonzero similarity to the reference author list, ranked according to descending order of similarity.
- The similarity of the title of the reference submission to the titles of the displayed submissions.
- Optionally, the page displays the abstracts of the submissions in the list (if available) and their similarity to the abstract of the reference submission.
- Finally, again optionally, the similarity of the complete manuscript of selected papers to the reference manuscript may be shown

The computations are resource intensive and may take a few moments for a large database.

3.16.12 Check Restricted Authors List

This item is available if the Restricted authors list has been enabled and the user has the 'Manage the restricted authors list' privilege.

Follow the link to check if any of the authors of the submission is on the Restricted authors list. Also follow this link if you wish to add the authors to the Restricted authors list, or if you wish to flag or unflag the submission as On hold.

See also 3.13 Restricted Authors List.

3.16.13 One Click Overview

Follow the link One click overview in the Submissions menu to see all evaluations and reviews of the submission.

Near the top of the overview, click on the version number for which you wish to see the evaluation or click on the link Open all.

The link Print is available for printing the overview.

3.16.14 Submission History

Click on the item Submission history in the Submissions menu for a brief summary of the history of the submission.

3.17 Miscellaneous Functions

3.17.1 Pdf Test

The Pdf test page may be reached by using the link 'Test your pdf manuscript file before submission' on the Access page (see 3.2 Access Page) or by using the link 'Pdf Test' on the Files page (3.16.2 Files.)

After making the correct selections and uploading the pdf file a report appears. If there are critical issues the system will not accept the file for uploading.

3.18 Site Map

3.18.1 Main Menu

The Main Menu (Table 15) appears near the top of almost every page in the form of a horizontal row of items. Whether or not certain items appear depends on the user's privileges.

3.18.2 Tools Menu

The Tools Menu (Table 16) appears below the Main Menu after following the Tools link in the Main Menu. The number of items in the Tools Menu varies greatly with the user's privileges.

3.18.3 Submissions Menu

The Submissions Menu (Table 17) appears on pages that deal with individual submissions. The number of items (see 3.16 Submission Related Functions) depends on the user's privileges.

Table 15. Items in the Main Menu

Items in the Main Menu		
Access	Return to your Access page	3.2 Access Page
Workspace	Return to your Workspace page	3.3 Workspace
Go to	Enter a submission number or submission ID in whole or in part and click on the link to search for the submission	
Preferences	Set the preferences for your Workspace page	3.3 Workspace
PINs	Access the PINs database	3.12 Accessing the PINs Database
Reminders and Thanks	Send reminders or thank you notes	3.5.3 Request Confirmations, Send Reminders and Send Thank You Notes
ToCs	Manage the Table of Contents	3.11 Manage the Table of Contents
Tools	Access various tools	3.18.2 Tools Menu
News and Information	Access the News and Information section (if supported)	

Table 16. Items in the Tools Menu

Items in the Tools Menu		
Activity	View the system Log	
Users	Manage the users	2.1.3 Users
Roles	Manage the roles	2.1.2 Roles
Types of submission	Manage the types of submission	2.1.1 Types of Submission
Decision profiles	Manage the decision statuses and profiles	2.1.5 Decision Statuses and Decision Profiles
Options	Manage the options	2.3 Options
Form letters	Manage the form letters	2.1.4 Form Letters
Review forms	Manage the review forms	2.1.6 Review Forms
Announcement	Manage the announcement	2.2.2 Announcement
Query	Manage the database	For administrators only
Reports	Access the various database reports	3.15 Database Reports
Restricted authors list	Manage the restricted authors list	2.2.7 iThenticate Plagiarism Scan
iThenticate scan	Plagiarism scanning	3.16.10 iThenticate Scans
Transfer workload	Transfer workload	3.14 Transfer Workload
Maintenance	Reports tables and Backup	2.2.9 Reports Tables Maintenance, 2.2.10 Backups

Table 17. Items in the Submissions Menu

Items in the Submissions Menu		
Details	Open the Database Entry page	3.16.1 Database Entry
Files	View and manage the files	3.16.2 Files
Log	View the Log	3.16.3 Log
Archive	Access the Archive	3.16.4 Archive
Assign	Assign the submission	3.4 Assigning Submissions
Transfer	Transfer the submission	3.16.5 Transfer
Share	Share the submission	3.16.6 Share
Reviews	Access the reviews	3.5 Collecting Reviews
Report	Prepare a publication recommendation	3.6 Publication Recommendation and Report
Decision	Prepare a publication decision	3.7 Publication Decision
Advise	Advise the authors	3.16.7 Advise
Contact	Contact editorial staff	3.16.8 Contact
Protest	Manage a protest	3.16.9 Protest
Schedule	Schedule the submission	3.9 Schedule a Submission
Dispatch	Dispatch to Publisher	3.10 Dispatch to Publisher
iThenticate scans	iThenticate scan results	3.16.10 iThenticate Scans
Similar submissions	View similar submissions	3.16.11 Similar Submissions
Check restricted authors list	Check the restricted authors list	3.16.12 Check Restricted Authors List
One click overview	See all reviews at one click	3.16.13 One Click Overview
Submission history	Submission history	3.16.14 Submission History

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